A NEEDS ASSESSMENT FOR A PERFORMANCE MANAGEMENT TRAINING PROGRAMME AMONGST COMMANDERS WITHIN THE SOUTH AFRICAN MILITARY HEALTH SERVICES

by

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Declaration

By submitting this thesis electronically, I, GRACE THANTSA, declare that the entirety of the work contained therein is my own original work, that I am the sole author thereof (save to the extent explicitly otherwise stated), that reproduction and publication thereof by Stellenbosch University will not infringe any third party rights and that I have not previously in its entirety or in part submitted it for obtaining any qualification.

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Abstract

Performance management entails processes and systems that ensure that organisational activities are geared to promote the achievement of organisational goals. Management of performance is one of the crucial functions to be fulfilled by leaders and managers in an organisation. Management and leaders in an organisation serve as the compass that lead and direct these entities; they should be empowered to optimally fulfil the expected roles and functions.

The study resulted from an observation made during internal audit engagements and concerns raised by South African Military Health Services (SAMHS) commanders during these engagements. An initial informal survey of performance management conducted by the researcher during the internal audit engagements confirmed a need for a formal scientific study, hence this formal study.

The study was conducted amongst commanders in the SAMHS with their prior voluntary consent to participate in the study. The study participants comprised SAMHS commanders from different levels of this organisation, ranging from directors of professional departments, general officers commanding from different military health formations to officers commanding military units from various provinces.

Literature relevant to the studied topic was researched, which ranged from books, legislation and internet articles, as well as internal prescripts of the Department of Defence. A questionnaire was designed and constructed to collect the study information. Central concepts of the study were identified and included in the questionnaire.

The study questionnaire was administered to the commanders within the SAMHS, who responded with enthusiasm and diligence. The findings of the study confirmed to a great extent that a performance management training need exists amongst SAMHS commanders. It was also found that SAMHS commanders are willing to undergo performance management training to enhance their functioning.

The empirical findings of the study were tabled and analysed on completion of the scientific study and conclusions were drawn from the findings. Based on the findings of the empirical study, conclusions were drawn and recommendations are made.

Opsomming

Prestasiebestuur behels prosesse en stelsels wat verseker dat die organisasie se aktiwiteite op die bereiking van die organisasie se doelwitte gerig is. Bestuur van prestasie is een van die belangrikste funksies wat deur die leiers en bestuurders in 'n organisasie vervul moet word. Die bestuur en leiers in 'n organisasie is die kompas wat leiding en rigting gee vir hierdie entiteite en moet bemagtig word om verwagte rolle en funksies optimaal te vervul.

Die studie was die gevolg van 'n waarneming wat gemaak is tydens interne oudit betrokkenheid en bekommernisse wat deur bevelvoerders in die Suid-Afrikaanse Militêre Gesondheidsdiens (SAMGD) aan die lig gebring is. 'n Aanvanklike informele prestasiebestuur-opname wat deur die navorser tydens die interne oudit onderneem is, het die behoefte aan 'n formele wetenskaplike studie bevestig en tot hierdie studie gelei.

Die studie is onder die bevelvoerders binne die SAMGD met hulle voorafgaande vrywillige toestemming tot deelname aan die studie onderneem. Die deelnemers aan die studie het SAMGD-bevelvoerders op verskillende vlakke van hierdie organisasie ingesluit. Hulle het vanaf direkteure in professionele departemente, bevelvoerende generaals van verskillende militêre gesondsheidformasies tot bevelvoerders vanuit verskeie provinsies gewissel.

Relevante literatuur met betrekking tot die onderwerp is nagevors. Dit het boeke, wetgewing, artikels op die internet en interne voorskrifte van die Departement van Verdediging behels. 'n Vraelys is ontwerp en saamgestel om die nodige inligting vir die studie in te samel. Sentrale konsepte van die studie is geïdentifiseer en by die vraelys ingesluit.

Hierdie vraelys is aan die bevelvoerders binne die SAMGD, wat met entoesiasme en ywer gereageer het, voorgelê. Die bevindinge van die studie het tot 'n groot mate bevestig dat daar 'n behoefte aan opleiding in prestasiebestuur onder bevelvoerders binne die SAMGD bestaan.

Daar is ook tydens die studie bevind dat bevelvoerders binne die SAMGD bereid is om prestasiebestuurs opleiding te ondergaan om hul funksionering te verbeter.

Die empiriese bevindings van die studie is na die wetenskaplike studie getabelleer en geanaliseer en gevolgtrekkings is daarvolgens gemaak. Aanbevelings word op grond van hierdie bevindings van die empiriese studie gemaak.

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CHAPTER 1

Introduction and background to the Study

1.1 Introduction

Performance management is an organisational process aimed at ensuring that organisational goals and objectives are optimally and effectively achieved as planned; obstacles to performance are identified and measures to improve performance are put in place, should there be a need. This process can be focused on individual employees (micro level), groups within the organisation and even the organisation as a whole (macro level). Management of performance in an organisation is mainly vested in those employees who are in senior or management positions and in charge of the organisation.

Although the performance management responsibility is vested with the employees who are in management positions within organisations, these employees often do not possess all the necessary knowledge and skills to fulfil this responsibility. Organisations on many occasions omit to ascertain that all employees possess the required knowledge and skills inherent to their posts on a continuous basis. In the military, employees are appointed and placed in management posts on the basis of the years of experience they possess, with the assumption that they will be competent to fulfil roles and responsibilities that go with their posts.

A lack of performance management-related knowledge and skills became evident in the SAMHS during internal audit engagements, specifically when auditing performance management at the macro level using the internally adopted model, namely the "South African Excellence Foundation (SAEF) Model". Although the broader Department of Defence (DOD) has adopted the "Balanced Scorecard" as a model through which it measures its performance, various Arms of Services within the DOD have a choice between the two models, i.e. the SAEF or the Balanced Scorecard Models.

Most audit engagement reports on performance management using the SAEF model revealed that members in the SAMHS did not fully understand the model and have not implemented the model in their facilities. The SAMHS, as an organisation, needs to review its situation continuously in relation to the dynamic environment in which it finds itself. All organisations also need to ascertain and confirm on a continuous basis that all their employees possess the required skills and knowledge for the posts they occupy, as a way to respond appropriately to an ever-changing and dynamic workplace.

Globally, both profit-making and non-profit-making organisations, including the public sector, have initiated reforms in their service delivery endeavours, to improve the quality of services rendered and effectiveness and to show results.

In South Africa post-1994, reforms have been initiated by governments to improve service delivery and address the imbalances and gaps that were apparent in the past. The reforms that have taken place in the South African public sector are reforms like "government for the people and by the people" and "outcome-based as compared to previous output-based" service delivery. These reforms are nothing else but the measures adopted by the government of South Africa to promote performance in order to ensure that goals, objectives and results set out by the public are achieved.

Therefore, it is the researcher's opinion that performance management will be enhanced through activities such as auditing and research surveys or assessments of knowledge and skills gaps, including updating of identified gaps on a continuous basis.

In the Presidency's Policy on Improving Government Performance (2009), performance management was described as a process that an organisation follows in an effort to ensure that employees' inputs are geared and channelled to achieve the goals as set out and to respond and rectify any deviations that are noted in good time.

This chapter outlines the study's background and motivation, the formulation of the problem, which includes the study's aim and objectives, the key concepts of the study and an overview of the chapters of the research report. A brief outline of the research design, methodology used in the study and review of related literature is also presented in this chapter.

1.2 Background and motivation for the Study

Since the inauguration of the new government in 1994, the South African government has been and remains faced with service delivery, performance management and accountability challenges. All organisations – state owned, private and the military – have realised that they have to make a success with the limited resources available at their disposal. The notion of moving from inputs to outputs, and eventually to outcomes-based service delivery and measurement of performance has become the order of the day.

The motivation to pursue the study was as a result of real-life workplace experience. The researcher is employed as an internal auditor in the SAMHS, which is one of the four Service Arms within the SANDF. The internal audit function within the SANDF is tasked with the management of identified risks within this department. Compliance, Regulatory and Performance internal audits are conducted as a means of ensuring that there is adherence to both corporate and internal prescripts in the DOD Inspectorate, whereas only performance and compliance audits are conducted in the SAMHS. In cases where deviations are identified, internal audits also endeavour to ensure that corrective measures are put in place.

Performance management is also one of the issues identified as a risk and is audited in the SAMHS. There is a risk management process in the SAMHS, as well as in the DOD, whereby military units embark on identifying and prioritising risks deemed eminent in their environment and to come up with a plan of action for managing those identified risks.

There is a DOD Risk Register and a department where all risks identified for the entire DOD are recorded and monitored, the Inspector General for the DOD. This is

known as the Inspector General (IG) for the DOD or the DOD Inspectorate. The model, through which performance is managed and measured in the SAMHS, is the SAEF Model and the DOD Instruction on Performance Management, promulgated in 2011. The SAEF Model focuses more on a macro level within the SAMHS, whilst the Department of Defence (DOD) Performance Management Instruction, promulgated in 2011, focuses on a micro level for most employees (employees below salary level 12) within the DOD.

It was during internal audits in the SAMHS, specifically when auditing the risk topic of performance management, that a challenge regarding a knowledge gap pertaining to this risk topic became evident. Members employed to be in charge of military units expressed their concerns and mentioned challenges experienced in performance management. As stated earlier, there are various internal prescripts and a model put in place in the SANDF and the SAMHS, which serve as guidelines and promote performance management on both corporate and individual employee level. The implementation of the prescripts and the adopted model seemed to be a challenge or a lack of supporting background information within the SAMHS as per experience during audit engagements.

Initially, training was provided to manage macro level performance within the SAMHS on the SAEF Model that is in use. SANDF members inclusive of SAMHS members were sent out externally to be trained in the SAEF Model and had received certificates of competency to this effect. In the SANDF, with special reference to the South African Air Force (SAAF), the SAEF Model-trained members were used as "force multipliers" to share the knowledge gained by training their colleagues in the model. Members of the SANDF trained by their counterparts in the SAAF received a certificate of attendance on completion of the course. Furthermore, the SAEF Model training was incorporated in the curriculum of some of the SAMHS military training courses until 2006.

Since 2006, no training regarding the SAEF Model has been provided in the SANDF and SAMHS.

It was during internal audit interaction with commanders in the SAMHS, from 2007 to date, that performance management challenges and concerns were expressed by

most Commanding Officers within SAMHS. The concerns and challenges expressed by the SAMHS commanders prompted the researcher to study the problem further with the aim of determining the extent of the need and also to shed some light on the experienced challenges and concerns.

The study, although it is performance management related, concerns a basic needs assessment amongst the SAMHS Commanders using the adopted organisational performance management model (SAEF model) and the performance management system for individuals within the SANDF and SAMHS as guidelines to determine whether a need exists for a training programme amongst these managers.

Performance management-related research has been conducted by different researchers (scholars) in South African organisations, but their focus and perspective differed from the researcher's basic needs assessment.

Munzhedzi (2011), a UNISA researcher, studied Performance Management and improved productivity at the Limpopo Province's Department of Local Government and Housing, in partial fulfilment of a Master of Public Administration degree. The aim of the study that was conducted was to determine whether the Performance Management System introduced by the Department of Local Government and Housing in Limpopo was a contributory factor to improved productivity at the provincial department.

Another performance management-related study by Roos, also a UNISA researcher, had been conducted in 2009 in partial fulfilment of a Master of Commerce Degree in Auditing. The focus of the study was Performance Management within the Public Finance Management Act (PFMA). The main focal areas in this particular study was to describe and examine the state of research knowledge on performance auditing and the reporting thereof, including how these two components of performance management can be used in the South African public sector and enhance alignment with the PFMA.

Maila (2006), another researcher from UNISA, studied Performance Management and service delivery in the Department of Water Affairs and Forestry.

This was a *Magister Technology* degree, which aimed at determining whether performance management is a precondition for service delivery or not.
Maila's study aimed at exploring the correlation between the Performance Management and Development System and public service delivery in the Department of Water Affairs and Forestry. The study question posed by this researcher concerned how effective and efficient service delivery was in the Department of Water Affairs and Forestry as a result of the introduction of a performance management system as a measure to promote service delivery.

1.3 Formulation of the Study Problem

A research problem can be formulated mainly in two forms, either as a question or a statement/hypothesis. Problem formulation entails a discussion of what the researcher wants to study. According to De Vos (1998: 64), the problem formulation phase is a phase in research during which the researcher formalises the problem under review in writing, as a first step towards the finalisation of the research project.

Ghauri and Gronhaug (2005:44) explain the research problem statement as the ultimate decision in writing a statement or question about an identified problem with the aim of either confirming or answering the problem under review. Both authors have indicated that a phase of stating what the researcher would like to study is not an easy one, as in some cases it can be a back and forth process that is cumbersome and lengthy.

A problem statement precedes a thorough consultation of literature relevant to the study problem. Therefore, after a thorough consultation and interrogation of literature, the researcher is of the opinion that the problem formulation for the particular study should be in a form of a research question. Therefore, the problem formulation for the study according to the researcher is "***What is the gap in performance management training amongst SAMHS Commanders*"*?***

A researcher uses a research question when the study is undertaken address a real-life situation. A research problem stated in a question format indicates that the researcher would like to approach the study by investigating identified gaps in the selected field

related to the study, and provide answers to the posed question. In cases where there were no similar studies previously undertaken, it would be valuable for the researcher to answer the question by means of the posed question. The researcher could find no identical studies on the study topic through various searches by means of the Internet or the National Research Foundation. The closest studies found were conducted on performance management and productivity, by various scholars in South Africa, but not specifically on needs assessment or performance management training programmes. These studies are discussed earlier in this chapter.

Another way of stating a research problem can be in a statement format or a hypothesis. A hypothesis, according to Welman and Kruger (2001:27), is a "statement or proposition that can be tested by reference to the empirical study". A hypothesis is viewed as a guess about the nature of the relationship between two or more variables and the ability to test the relationship. A hypothetical statement of the intended study can be phrased as: "***There is a gap regarding performance management training amongst the SAMHS commanders and a customised performance management training programme for these commanders will help in enhancing management of performance within SAMHS*".**

1.3.1 The Aim of the Study

The aim of the study was to explore, identify and assess the performance management knowledge base, training needs of commanders within the SAMHS. The study also aimed at assisting in determining whether it was necessary to have a Performance Management Training Programme for the SAMHS Commanders.

1.3.2 Study Objectives

The study objectives were as follows:

- To undertake an in-depth review of literature related to the phenomenon being studied including relevant theories and legislative frameworks
- To undertake an empirical study among SAMHS commanders with the aim of identifying performance management training needs
- To analyse and interpret the findings of the study based on the empirical study
- To make recommendations based on the study's findings
- To inform the SANDF (SAMHS) commanders about the results of the study.

1.4 Research Design and Research Methodology

Research design, according to Mouton (2008: 55), is a plan, map or blueprint drawn by the researcher to assist in answering the research question or statement. Research designs can be divided into different categories, namely research which aims at exploring, describing, explaining and experimenting or evaluating, to name but a few. The design of research adopted by the researcher was exploratory in nature, as very little was known in the SANDF (SAMHS) about the study problem.

Research process or research methodology is described by Mouton (2008: 137-142) as taking place in three frameworks, namely Worlds 1, 2 and 3, which are described as follows: "the world of everyday life and lay knowledge" is known as World 1; World 2 is referred to as "the world of scientific research and science" and thirdly, World 3, which is also known as the "world of meta-science". Ghauri and Gronhaug (2005: 56) described research methods as the techniques used to collect data.

In the study by the researcher, the methodology for collecting the study data ranges from information gathered in everyday life; being in interaction with commanders within the SAMHS during internal audits and the information contained in internal audit reports within the SAMHS.

Other methods used to collect research data for the study was the literature considered relevant to the study problem in the form of legislation and books, including other publications sourced through the internet and journal articles.
The researcher designed a research questionnaire that was used to collect the research data from the target research population.

The research design and methodology adopted and followed in the study are fully discussed in a dedicated chapter, later in the report, together with other aspects related to the research process, such as the approach and type of research. The research design for the specific study was exploratory in nature, using both qualitative and quantitative methods.

A brief review of the consulted literature that gave shape to the study, mainly the definition of key study concepts are discussed below.

1.5 Literature Review and Key Concepts in the Study

The literature review is the first step in research that the researcher embarks on with the aim to set clear boundaries for the study, to identify and refine the research problem and to identify ways and means to address the study problem. The literature review also guides the researcher with identifying appropriate processes, techniques and strategies to employ in the intended study. Review of literature updates the researcher's knowledge on the subject that is being studied.

The review of literature, according to De Vos (1998: 64-68), is conducted in order to determine whether any studies similar to the intended study had been conducted; to find out what the findings of such studies were; to explore the possibility of further expanding on issues that might be identified; and to avoid mistakes that may have occurred.

Literature consulted for the study was mainly management-related, with special emphasis on performance management. The researcher made use of resources (mainly books) provided by the Stellenbosch University library; journal articles accessed

through the internet; SANDF and SAMHS internal policies and prescripts, as well as South African Legislation. The National Research Foundation in Pretoria was consulted to determine whether any previous studies had addressed the study topic.

1.6 Definition of Key Concepts of the Study.

The central, military-related concepts in the study that were identified by the researcher were the South African National Defence Force (SANDF), the South African Military Health Services (SAMHS) and contextualisation of Commanders, the South African Army (SA Army), the South African Air Force (SAAF) and the South African Navy (SAN). Explanations of military ranks and other terminology are presented in this section. Other concepts integral to the study are defined and discussed in the relevant chapters. It should also be noted at this point that some concepts will comprise an explanation by the researcher in the context of the study rather than a written definition, especially regarding some military terminology.

1.6.1 The South African National Defence Force

The South African National Defence Force (SANDF) is the military institution in the Republic of South Africa vested with the responsibility to defend and protect its sovereignty. The SANDF is also sometimes referred to as the Department of Defence (DOD). The SANDF is made up of four Service Arms, namely the (SAMHS), the South African Army (SA Army), the South African Navy (SAN) and the South African Air Force (SAAF). The terms DOD and SANDF are used interchangeably in this document as the meaning is the same.

1.6.2 The South African Military Health Services

The South African Military Health Services (SAMHS) is an Arm of Service within the SANDF with the primary role of providing military health services to employees of the broader SANDF workforce and their dependants.

1.6.3 The South African Army

The South African Army (SA Army) is an Arm of Service within the SANDF with the primary role of being a fighting force for the protection of the sovereignty of the citizens of South Africa. They are the "landward force" and also referred to as soldiers by the broader citizens of South Africa.

1.6.4 The South African Air Force

The South African Air Force (SAAF) is an Arm of Service within the SANDF with the primary role of providing air protection and air superiority for the Republic of South Africa. These are the soldiers that protect South Africa's territory with the aim of conquering aerospace supremacy.

1.6.5 The South African Navy

The South African Navy (SAN) is an Arm of Service within the SANDF with the primary role of maritime protection of South Africa. These are the soldiers that mainly protect South African territory from the sea.

1.6.6 Commander

A commander in military terms means a member vested with power and authority over a military institution or installation. This can also be translated to be a member leading or in charge of a military unit. The term commander used in the context of the study refers to a member in the SAMHS who is in charge of either the SAMHS as a division within the SANDF, a chief director in charge of a component (Force Preparation, Force Support or Force Development) within the SAMHS or a Head of Department in the SAMHS as well as members in charge of military installations at all levels of the SAMHS installations. The term commander refers to a manager; the two terms are used interchangeably in the study.

1.6.7 Inspector General for the Department of Defence (IG DOD)

IG DOD is a department under the Secretary of Defence employed within the SANDF. This department comprises employees of the SANDF across all Arms of Service. The IG DOD is the custodian of risk management within the DOD. There are four Arms of Service IGs, which directly and in collaboration with the IG DOD are responsible for risk management.

1.6.8 Brigadier General (Brig Gen)

Brigadier General is a military rank allocated to a soldier (employee) who has been appointed according to the Act for Defence Personnel within the SANDF that is equivalent to a Director in the Public Service Sector.

1.6.9 Colonel (Col)

Colonel is a military rank allocated to a soldier (employee) appointed according to the Act for Defence Personnel within the SANDF that is equivalent to a Deputy Director in the Public Service Sector.

1.7 Outline of Chapters

The research report consists of the following chapters:

CHAPTER 1: Introduction and broad orientation to the study problem and research design and methodology, the background to the study and an overview of all information covered in other chapters.

CHAPTER 2: The SANDF (SAMHS) as an organisation is introduced and performance management within SAMHS is discussed.

CHAPTER 3: In-depth literature review with regard to general management theory, performance management, and legislative frameworks related to the study topic as well as needs assessment theory.

CHAPTER 4: Research design and methodology.

CHAPTER 5: Presentation and Interpretation of the findings of the empirical study.

CHAPTER 6: Conclusions drawn from te study and recommendations.

1.8 Conclusion

Performance management in organisations requires that services rendered by these entities should enhance the realisation of goals and set objective. Strategic employees are to be empowered in order to drive this process effectively and ensure that every employee in the organisation is geared to the shared vision. The experience of the researcher and frustrations shared by some commanders within the SAMHS during internal audits prompted the researcher to pursue the study.

The researcher chose the study topic with the aim of assisting the SAMHS commanders in identifying gaps that might exist with regard to performance management. It was also the researcher's aim, through the envisaged study, to determine suitable means (types of programme) for addressing the identified gaps as per the findings of the empirical study. All the appropriate research protocols required by the DOD were observed by the researcher. In the next chapter, an overview of SAMHS as an Arm of Service within the SANDF is discussed to contextualise the study topic.

CHAPTER 2

An Overview of the SAMHS

2.1 Introduction

The purpose of this chapter is to outline and explain the SAMHS as an organisation and also as an Arm of Service within the SANDF. In this chapter, the researcher also explains the interrelatedness of the different Service Arms within the SANDF, emphasising the role played by the SAMHS in relation to the other Service Arms. The SAMHS is the focal organisation for the study.

This chapter furthermore outlines Performance Management within the SAMHS on both the micro and macro levels. The SAMHS is a support Arm of Service within the SANDF, specialising in military health care for the broader SANDF and dependants of employees. Management of performance within the SANDF should therefore be coordinated in such a manner that the roles and functions to be fulfilled by each Arm of Service are clearly defined and outlined for the optimal achievement of the goals of the DOD.

The SANDF is made up of four main Arms of Service, as stated in the previous chapter, namely the SA Army, the SAAF, and thirdly, the SAN, as well as the SAMHS. The other three Arms of Service mentioned above, are vested with landward, airspace and marine/seaward protection of the sovereignty of the Republic of South Africa (RSA) respectively. The SAMHS as the fourth Arm of Service is responsible for military health support and care. Each Arm of Service has a Commander in Charge or the Chief.

In the performance of their duties, the SANDF's Arms of Service have a single vision, which is protecting and securing the RSA. According to the Overarching Strategic Business Plan (2011: 3) of the DOD, in addition to the internal role of protecting the sovereignty of the RSA, the Minister of Defence and Military Veterans (MOD &

MV), as part of the Government Cluster, is also vested with the role of ensuring international and regional peace, security and stability in accordance with International Cooperation, Trade and Security Cluster (ICTS).

Therefore, all the different Arms of Service within the SANDF play unique roles and have responsibilities that they fulfil individually, but collectively they are responsible for the security and protection of the RSA.

2.2 Overview of the SAMHS as an Arm of Service within the SANDF

The four military Arms of Service collectively make up the SANDF. The SANDF as an organisation is characterised by its hierarchical structure with the MOD & MV as the higher authority at the apex of this organisation, followed by the C SANDF (Chief of the SANDF) and subsequently followed by the Secretary of Defence (Sec Def), also known as the Accounting Officer for the Department of Defence (DOD). It should be stated at this stage that the President of the RSA by virtue of his position, is the Commander-in-Chief and the highest ranking officer in the SANDF.

This implies that the Performance Agreement (PA) or a Delivery Agreement of the MOD & MV should be in line with and support the goals and objectives as envisaged by the President of the RSA in relation to the defence and security of the RSA. Delivery Agreements of both the *C SANDF* and the *Sec Def* should be in line and in support of that of the MOD & MV and cascade the interrelatedness down to the lowest employee/member in the SANDF.

The SANDF and the DOD refer to the same thing and the terms are used interchangeably in this document. The Arm/s of Service, Service Arms or Service/s also refers to the same thing and are also used interchangeably.

2.3 The SANDF as an organisation

The C SANDF is the highest authority in the military that issues prescripts governing the entire organisation that, in turn, have to be customised and simplified to suit the different Service Arms.

The Chiefs within the different Service Arms in turn have to customise the prescripts issued at C SANDF level for implementation in their respective Services. Prescripts issued at SANDF/DOD level are normally referred to as the Department of Defence Instructions (DODIs). According to SANDF policy protocol, when a DODI is promulgated, in the SAMHS as well as other Arms of Service, it should be customised for implementation. In the SAMHS, the DODI, when customised, takes the form of either an SAMHS Order (SAMHSOR) or an SAMHS Instruction.

The SANDF prescripts pertaining to generic public service issues are based on National legislation, taking into consideration the supremacy of the Constitution of 1996. The following figures (2.1 and 2.2) compiled by the researcher illustrate the two structures of the SANDF at the apex of this organisation:

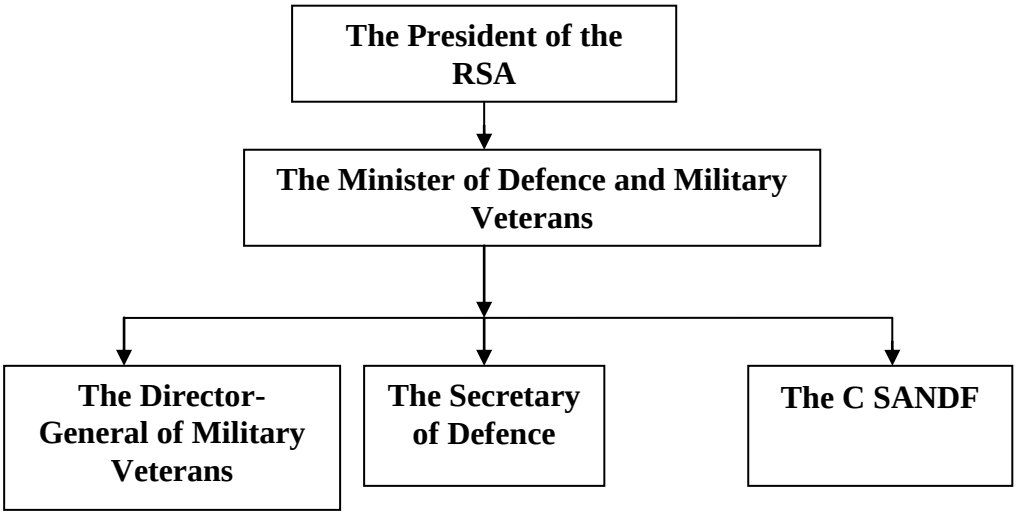

Figure 2.1: The Hierarchy of the Top Management of the SANDF: schematic representation of the SANDF structure depicting the President of the RSA at the apex of this organisation

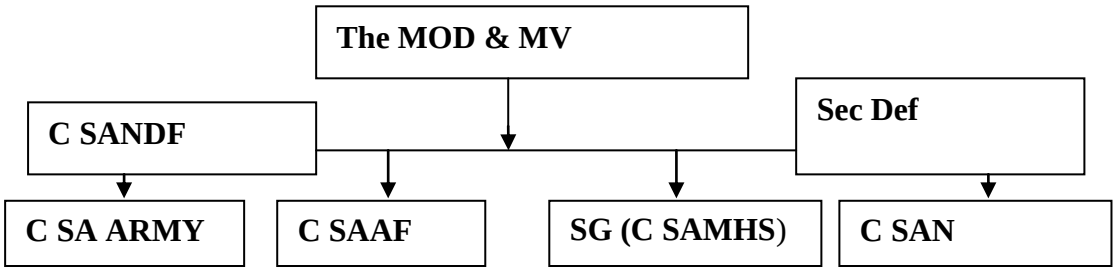

Figure 2.2: The Hierarchy of the SANDF including the Arms of Service

The SANDF is characterised by a structure made up of different divisions/Arms of Service, namely the SA Army, SAAF and the SAN, as well as the SAMHS, further designed with the basic elements of an organisation. The C SANDF is accountable to the Sec Def and the MOD & MV. The Office of the Minister of Defence and Military Veterans, C SANDF and the Sec Def, as well as DOD headquarters including the headquarters of all Arms of Service, are situated in Pretoria.

Divisional structure, according to Robbins and Barnwell (2006: 125), is a "structure characterised by a set of self-contained autonomous units coordinated by central headquarters". In the SANDF, examples of divisions can be stated as Human Resources (HR), Logistical, Defence Intelligence, and Joint Military Operations, to name but a few. In relation to the study topic, the Chief HR at DOD level is the custodian of performance management throughout the DOD organisation.

In the DOD, applicable National Government Policies are tabled and customised for implementation by a special internal structure known as the Policy and Planning Division, which resorts under the Sec Def. This is a structure that coordinates and regulates all DOD Policies/Prescripts. In the SANDF, different measures are in place to measure and manage performance, on both micro (individual employee) and macro (organisational) levels. As stated earlier in this chapter, a Delivery Agreement or PA is compiled and signed between the MOD & MV and the President of the RSA; this Agreement is translated to be the Strategic Performance Plan for the DOD from which all DOD stakeholders will derive their performance mandate.

2.4 The SAMHS as an organisation

The SAMHS, as already stated, is a focal organisation within the SANDF and is vested primarily with a military health supporting role. This organisation is mainly comprised of health, social services and other support services like Logistical and Human Resources professionals, to mention a few. Members of the SAMHS therefore are predominantly health and related professionals inclusive of social services professionals. Professionals like medical doctors, nursing staff, ancillary health professionals and psychologists, as well as social workers, are professionals that make SAMHS unique and distinguish it from other DOD Services; the fact that it is not a fighting force/combat force within the SANDF.

In all Arms of Service within the SANDF, inclusive of SAMHS, one gets a broad spectrum of other professions like Human Resources, Logistics, Legal and Occupational Health and Safety and others like these. Furthermore, in SAMHS, there are unique divisions relating specifically to military health known as formations such as the Military Health Training Formation (MHTF), Area Military Health Formation (AMHF) and Tertiary Military Health Formation (TMHF) as well as the Military Health Support Formation (MHSF) including the Military Mobile Health Formation (MMHF).

Under the command of the MHTF resort military health training institutions like the Nursing College, the School for Military Health and the School for Military training. All these institutions are based in Pretoria. The AMHF is in charge of the nine Area Military Health Units (AMHUs) with an AMHU in each province of the RSA; this implies that there are nine AMHUs. The primary function of the AMHF and its provincial AMHUs is the provision of primary military health and care to the DOD members and their families/dependants. There are military sick bays and military medical clinics under the AMHU.

Under the command of the TMHF resorts the three Military Hospitals, namely 1, 2 and 3 Military Hospitals that are based in Pretoria, the Western Cape and the Free State respectively. Also under the command of this Formation is the Military Psychological Institute (MPI), the Military Veterinary Institute (MVI) and two further institutes, namely one for Aviation Medicine (IAM) and the other for Maritime Medicine (IMM), based in Pretoria and Western Cape respectively.
The MPI is based in Pretoria, whereas the MVI is based in Potchefstroom in the North-West province. The primary responsibility of the TMHF and its institutions, both hospitals and others, is to provide specialised secondary health services such as Research and Development, advanced medical services and other health services.

Under the command of the MHSF resort the Military Health Base Depot and its Military Procurement and Mobilisation units as well as the General Support Base Thaba-Tshwane. This Formation and all its units are based in Pretoria. The primary responsibility of the MHSF is the procurement, warehousing and distribution of unique SAMHS medical equipment including medication.

Lastly, the MMHF has five sub-units, namely 1, 3, 6, and 7 as well as 8 Medical Battalion Groups (Med Bn Gps). This formation is vested with support of operations both internally and externally. The 1 Med Bn Gp is situated in Kwa-Zulu Natal; 3 Med Bn Gp in the Western Cape and 6, 7 and 8 Med Bn Gps are in Gauteng province. All the five formations within SAMHS are based in the Pretoria, in the Gauteng Province.

Figure 2.3 compiled by the researcher, comprises a condensed schematic representation of the SAMHS, depicting the structure and applicable boundaries.

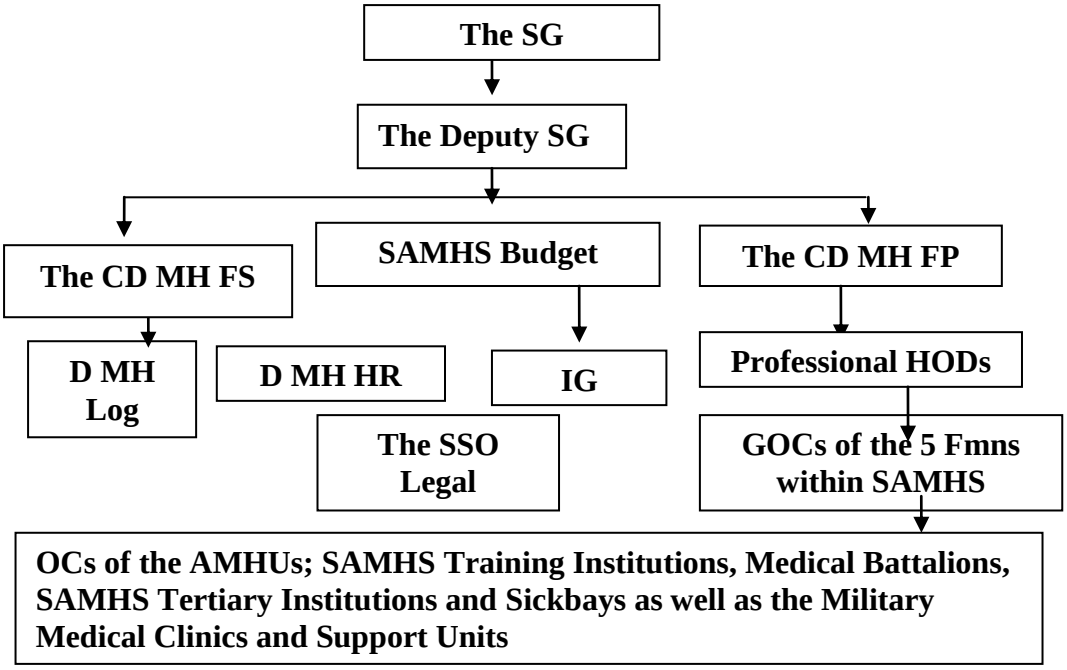

Figure 2.3: Schematic representation of SAMHS

At the apex of the SAMHS is the Commander in charge of this Arm of Service, known as the Surgeon General and referred to as the SG in military terms. The SG is the Accounting Officer of the SAMHS according to Section 38 of the PFMA 1999, Act 1 of 1999. In terms of the SANDF levels of command, the SG and the Chiefs in the other Arms of Services are situated at level 2 within the broader SANDF. The level below the SG is the deputy SG, and cascading further down are the two Chief Directors (CD), namely Force Preparation (FP) and Force Support (FS).

There are a Budget Manager, the Inspector General (IG) for SAMHS and the Senior Staff Officer (SSO) Legal, resorting directly under the Deputy SG. Both the SG and the deputy are medical doctors by profession and hold military ranks of Lieutenant General and Major General respectively, which are equal to positions of Deputy Director General and Chief Director in the public service ranks.

2.5 Overview of Performance Management within the SANDF; SAMHS

Since 1994, the SANDF, like all other public service organisations, has undergone a transformation in almost all its facets and has faced many challenges to keep up with the changing public service mandate and imperatives. Changes and challenges in the SANDF did not involve the Integration Process of former liberation movement forces including those of former TBVC states only. Changes and challenges in the SANDF also included the paradigm shift from defensive and war planning-focused strategies to more peacekeeping and safeguarding, as well as defence in democracy.

Performance management systems are in place for both micro and macro levels in the DOD. In April 2011, the Chief HR within the SANDF issued a Performance Management Instruction as a measure through which performance of DOD employees on salary levels 1 to 12 will be managed and measured. This was not the first performance management system endeavour put in place in the DOD, but was a means of continuously improving on available systems. This Performance Management Instruction was aimed at providing the principles, prescripts, instruments and processes applicable to the performance management and development of DOD officials with effect from 1 April 2011.

Two models widely adopted and used in the SANDF to manage and measure performance at organisational levels are the Balanced Scorecard and the Excellence Models. The SA Army has adopted the Balanced Scorecard, whereas the other three Arms of Service adopted the Excellence Model, through which it manages and measures its performance. The SANDF and SAMHS performance management models are fully discussed in the literature review chapter.

2.6 Conclusion

This chapter has outlined the SAMHS as an organisation within the SANDF. The SAMHS as one of the four Arms of Service within the SANDF vested with the military health support of the broader DOD, was outlined schematically and discussed. The SANDF as the umbrella military body was outlined to explain the interrelatedness and interdependency between the different Arms of Services.

All four Arms of Service within the SANDF function independently in pursuit of their unique goals, but interdependently to pursue the goal of the SANDF.

Performance Management and Performance Goals of all Arms of Service within the SANDF should be in accordance with the goals as stated by Parliament in the Performance Agreements of both the Minister of Defence and Military Veterans; Sec Def. Failure in one Arm of Service will result in eminent failure in the next.

If the SAMHS fails to support the other three Arms of Service, we will have soldiers who do not enjoy good health and the security and sovereignty of the RSA will therefore be compromised. Therefore, suboptimal health care services will negatively impact on the combat readiness status of the soldiers and protection of the RSA as well as health care services for dependants of employees. The next chapter is focused on literature related to the study. The study concepts will also be discussed in detail, to clarify the context in which they are used in the study.

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CHAPTER 3

Literature Review

3.1 Introduction

Performance management is applicable across all levels in all organisations and involves all individuals employed in those organisations, from strategic personnel to employees at the lowest level. In the South African public service sector, various organisations are vested with performance management responsibility, such as the Public Service Commission (PSC), the Department of Public Service and Administration (DPSA) and the Public Administration Leadership and Management Academy (PALAMA), to name but a few. In the Manual for Personnel Evaluation (1991), the PSC's primary function is stated as the measuring of performance and ensuring effectiveness in the public service. The Commission also oversees and advises other organs of State on human resources-related matters such as recruitment, selection and appointment, to name but a few.

The DPSA is vested with the responsibility of guiding other public service entities in designing and developing performance management policies and systems. The DPSA developed its first performance management guide in 1999, which is viewed as a guideline in the entire public service. The PALAMA was established in 2008 as a substitute of the South African Management Development Academy and vested with training employees within the public service. As the name explains, its main purpose is to train and develop public servants in leadership aspects for enhanced performance.

Strategic employees, such as employees in charge of military units, directors, as well as chief directors, also known as General Officers Commanding and Officers Commanding in the SANDF, are the leaders and drivers of this organisation.

In the military, these members hold ranks of Brigadier General and Colonel, which are equivalent to director and deputy director in the public sector domain.

These are the key leaders to guide the employees at the lower levels of the organisation and to support the upper layer of the organisation in achieving organisational goals. Performance management involves facilitating the achievement of organisational goals. Organisational goals are set at the strategic level of the organisation; therefore employees at the strategic level should inform and involve other levels regarding organisational goals, to enhance achievement of these goals.

Strategic-level employees within organisations, also referred to as commanders or managers in this study, are the key to success in the achievement of organisational goals. Commanders within the SAMHS should be competent in fulfilling their management responsibilities including the performance management-related responsibility, but it was discovered during the internal audit engagements that some of these leaders experienced challenges in fulfilling the expected roles. South Africa post 1994 has experienced change on a continuous basis and reforms on a number of aspects, and management of performance is one of those aspects that increasingly receives the attention of government, as dissatisfaction with service delivery is attributed to poor performance or non-performance. The SAMHS, as an organisation within the SANDF, and the broader public service is no exception to this dilemma.

Managers within the SAMHS need to know and understand the expected roles and functions of their posts, including the knowledge and skills required for optimal functioning. Although, members appointed in managerial positions in the military, including SAMHS, undergo training in preparation for their management roles and responsibilities, the expressed challenge and concerns regarding performance management raised during internal audit engagements were also of concern to the researcher, hence this study.

As stated in Chapter 1, performance management training is not fully covered in training provided by military training institutions in the SANDF. Generic management training modules are presented throughout military training courses such as Officers' Formative training, the Medical Platoon Commanders and Junior Command and Staff Duties including Senior Management Programme, as well as Joint Command and Senior Staff courses, but it seems that training focused on performance management is lacking.

The study was initiated due to the identified challenge and was focused on the exploration of performance management knowledge needs of the commanders in the SAMHS.

This chapter introduces the concept of management and its broad functions at different levels of an organisation, global and South African endeavours to manage and measure performance, as well as South African legislative frameworks. Performance management frameworks in the SANDF (SAMHS), including needs assessment, training and other performance management-related aspects are also addressed in this chapter.

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According to Brevis, as cited in Van Nieuwenhuizen and Rossouw (2008: 39), organisations find themselves in a turbulent environment, where management has to do more with less and has to engage employees and see change rather than stability.

DuBrin (2006: 2) defines management as a process followed by employees in leading positions of an organisation in "translating the use of organisational inputs (resources) into outputs (performance) ". DuBrin (2006: 2) furthermore explains that management follows the above-mentioned process by fulfilling the management functions of planning, organising and staffing, leading and controlling.

Griffin (1996: 5), in defining management, describes resources available within organisations as human, financial, physical and information, whereas activities that management is involved with include planning, decision making, and leading, including controlling. Griffin (1996) furthermore explains the term management as referring to an individual employee (manager) or a group of employees (management) at the top level of an organisation.

These employees, according to Griffin (1996: 6), are vested with the responsibility of ensuring that they carry out certain functions, like planning, making decisions, leading and controlling the resources available at their disposal, in the pursuit of achieving organisational goals.

3.2 Functions of Management

Various authors such as DuBrin (2006: 4), Griffin (1996: 9), Crafford, Moerdyk, Nel, O'Neill, Schlechter and Southey (2006: 33), as well as Van Zyl, Dalglish, Du Plessis, Lues and Pieterson, (2011: 27), state and confirm that management has four basic functions, namely planning, organising, leading and controlling, which are briefly discussed below. There are some authors such as Slocum (1996: 374, 600) and Van Niekerk (1998: 36) who state additional management functions as budgeting and staffing. Some management functions will also be discussed in relation to applicable organisational levels. For this study, the researcher focused only on those functions that are deemed relevant to the study but does not regard the other management functions as unimportant.

3.2.1 Planning

According to Griffin (1996: 9) and DuBrin (2006: 7), planning is defined as the process that management within an organisation embarks on to set goals and identifies ways and means of achieving the identified goals. When carrying out the planning function, managers are also faced with the various options that might help in achieving the set goals for the organisation.

Van Nieuwenhuizen and Rossouw (2008: 50) describe planning as a process that gives guidance and direction to members of a business, which encompasses the development of goals and objectives, including the establishment of the business strategy that will lead to the achievement of set goals and objectives. They further detail procedures for systematically and logically mapping the activities necessary for the achievement of organisational goals, and objectives that are part of the planning process.

In short, the definition implies that planning entails the "what" and "how" of the business entity; where the "what" describes the purpose of the organisation regarding the activities to be carried out and the "how" describes the activities that will help in fulfilling the purpose.

McKendrick (1988: 293) states the reasons for planning as "planning is a stepping stone for achieving desired results, achieving envisaged results with minimum costs and efforts". Furthermore, McKendrick also states that other reasons for planning concern identifying core activities and controls to be carried out, and gaining support and commitment that will enhance and improve results. Lastly, McKendrick explains that planning ensures and promotes effectiveness, efficiency, accountability, including willingness, and organisations that are motivated.

Furthermore, McKendrick (1988: 295) identified steps that can be followed during the planning process, such as setting goals and objectives; assessing the needs and available resources; identifying available options, including evaluation of identified options; selection of appropriate actions to be taken; specification of objectives as per actions to be taken; the development of an action plan and implementation of the adopted plan; and lastly, evaluation to check whether expected results are achieved or not.

Slocum (1996: 141) differentiated between the two types of planning as strategic and tactical, describing analysis and development of an organisation's mission, vision and goals and resource allocation as strategic planning, whilst tactical planning concerns itself with detailing the decisions about the "**what**", the "**who**" and the "**how**" decisions about activities of the organisation by the middle and line managers.

The researcher views planning as the first and most important management function and foundation for all organisations. With proper planning and taking sound decisions, an organisation will achieve its goals and objectives. With proper planning, organisations move from a certain point (normally from a familiar and comfortable point) to another point (usually an unfamiliar but improved/better point) that will promote achievement of better results. With planning, organisations create expectations that can be attributed to certain activities.

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According to Fox, Schwella and Wissink (1991: 47-52), planning is a process undertaken by a public sector management grouping based on the policies governing it regarding **what** the organisation needs to do, **how** to go about doing what needs to be done, the period (**when**) to do what needs to be done and, lastly, **who** will do what

needs to be done. Furthermore, Koontz is quoted by Fox *et al*. (supra) describing planning as "bridging the gap from where we are to where we want to be".

According to Koontz, O'Donnell and Weinhrich (1980: 170-171), Dessler (1982: 505-508) and Berkley, as cited in Fox *et al.* (1991: 47), the importance of public management planning can be stated as follows:

- **"Planning contributes to the effective handling of change"**: Planning enables public managers to put measures in place in preparation for anticipated change. Change means nothing else but movement from one situation to the next better or best situation.
- **"Planning provides direction"**: Planning clarifies the purpose of an organisation; and with planning, the means are created to achieve purpose or organisational objectives.
- **"Planning provides a unifying framework"**: A framework is a guideline adopted for the functioning of an organisation and means a pathway that needs to be followed in order to achieve goals and objectives.
- **"Planning provides opportunities for increased participation"**: Participation of interested parties within an organisation is enhanced through planning.

  Events and activities should be planned, and members of organisations should be informed of planned activities in order that their participation is lobbied.
- **"Planning creates higher levels of predictability"**: As planning provides a framework and direction, ultimately organisations can predict outcomes they expect with proper planning.
- **"Planning facilitates control"**: Planning involves the setting of goals and objectives through which conformity to standards can be promoted. Evaluation of whether goals and objectives of an organisation are achieved, and to determine whether plans achieve the planned results and if not, corrective measures to put in place.

Masondo and Shoke (2010: 4/1-4) explain planning as managers' or commanders' work performed to predetermine a course of action involving prior determination of what the organisation should accomplish and the means to accomplish what should be accomplished.

Van Nieuwenhuizen and Rossouw (2008: 51-52) describe the three levels of planning in a business as strategic, tactical – also referred to as functional – and operational, with each level having its specific plan serving a specific purpose.

Strategic Plans

According to Van Nieuwenhuizen and Rossouw (2008: 51-52), strategic plans are applicable to the entire business and envisage mapping the position of the organisation in order to establish long-term objectives and to steer the business in the right direction with the aim of ensuring the attainment of goals. Planning undertaken at the strategic level, which is normally the top level of business, involves the creation of a vision (future focus); translation of the vision into a mission statement, which in turn is further translated into measurable, long-term objectives; and lastly, developing strategies that will help in realising the vision, mission and long-term objectives.

The strategic plans are filtered down to the tactical level, and managers at the tactical level will base their plans on the strategic level's plan to promote and support their higher echelon to achieve set strategic goals. Strategic plans will be customised (simplified) by leaders/managers at the tactical level to be applicable and plan activities to support strategic goals and objectives.

As indicated earlier, the study population identified and chosen (Commanders within SAMHS) by the researcher were strategic level employees and the right group as such to take the SAMHS where it should be, being the drivers in this organisation who would drive the organisation in the right direction and eventually arrive at the right destination, i.e. rendering services that are in accordance with the government mandate and are measurable.

The Tactical Plans

Tactical plans, according to Nieuwenhuizen and Rossouw (2008: 51), are more specific than strategic ones. Furthermore, according to the above-named authors, these plans compiled by senior, middle and first-line managers specify the medium-term objectives to be achieved, which should also be in line with and support the long-term strategic objectives.

The interrelatedness of the different plans in an organisation was further explained by Nieuwenhuizen and Rossouw (2008: 52): as the tactical plans are filtered down to operational level, managers at the operational level will base their plans on both the strategic and tactical levels plans to promote and support their higher echelon.

Operational Plans

These plans are developed by first-line managers/supervisors focusing on carrying out strategic and tactical plans to achieve operational goals. Operational plans are narrow in focus, with shorter timescales.

Although the above-mentioned statement can be viewed as stating that operational plans are simple and produced at the lowest level of the business, the researcher views this level as the most crucial level as this is the level where most actions within the business take place, and this level is seen by the researcher as the one that can either make or break a business.

3.2.2 Organising

DuBrin (2006: 8) describes organising as "the process of making sure that the necessary resources (both human and physical) are available to carry out a plan and achieve organisational goals". In Van Nieuwenhuizen and Rossouw (2008: 58), organising is defined as a "process of creating a structure for the business that will enable its people to work effectively towards its vision, mission and goals".

Organising, according to the researcher, means the ability of members within a business to identify tasks to be done; how to carry out those tasks that are to be done; coordination and management of tasks; as well as identification of who will perform those tasks. This simply reiterates and aligns with what earlier stated was in describing planning as stated by Fox *et al.* (1991: 25).

According to Griffin (1996: 292), organising is deciding on the grouping of organisational resources and activities in order to achieve set goals. Organising was further described as having building blocks that help to complete the process, namely job designs, grouping of jobs, establishment of reporting relationships between jobs, distribution of authority among jobs, coordinating activities between jobs and differentiating between positions.

Van Nieuwenhuizen and Rossouw (2008: 58) describe organising as comprising principles which are identical to the building blocks, as described by Griffin in the above paragraph. Van Nieuwenhuizen and Rossouw furthermore identified the following principles, namely unity of command, unity of direction and chain of command, span of control and division of work, standardisation, coordination, responsibility, authority and accountability, and power and delegation. Below is a brief discussion of Griffin's organising building blocks.

- **Designing jobs**

According to Griffin (1996: 293), job design is the first step in organising and entails the determination of an individual's work-related responsibilities and deals with the defining of goals, expectations and establishing success indicators for a particular job/post, and can be used to determine the desired level of specialisation.

According to DuBrin (2006: 237), job specialisation was defined as: the degree to which a job holder performs only a limited number of tasks. Job specialisation according to Griffin (1996: 294) entails the breaking down and division of labour regarding a task to be performed within an organisation in order to improve productivity and enhance efficiency and effectiveness.

- **Grouping jobs**

According to Griffin (1996: 293), grouping of jobs – also referred to as departmentalisation – means that there is a logical jobs grouping, either according to their functions (same or similar activities); the product or product group they have to produce; their primary customers; or their location (defined geographic sites or areas). Departmentalisation is sometimes adopted in large organisations in order to ensure that quality time will be devoted to members of the departments by the appointed manager for the specific department, who would report on the performance and challenges experienced, as part of the larger organisation.

According to the researcher, job groupings/departmentalisation assists organisations in defining the expected roles, functions and accountability as well as responsibilities. Departmentalisation is also in use in the SAMHS, and each department/directorate has set goals and objectives to meet regarding performance.

- **Establishing Reporting Relationships**

Establishment of reporting lines entails the distinct and clear chains/lines of command, control and authority defined among the positions within the organisation. The two components of command chain, according to Griffin (2006: 301-302), are known as the unity of command and the scalar principle. The Unity of Command Principle enforces that, within an organisation, there should be a clear reporting line pointing to one boss responsible for an individual or a group of individuals.

Command and control is a rule in the SANDF (SAMHS). There are set command lines in the SANDF (SAMHS) that guide and are observed by all employees in the organisation including the support and administrative staff. The Chain of Command in the military means there are set rules or reporting lines, whereby each employee has clarity about with and to whom he or she should communicate and report. This also includes when performance is to be managed and measured.

- **Distributing Authority**

Griffin (2006: 305-306) described distributing authority as a crucial building block when organisations are structured. Furthermore, the author states that authority in an organisation is legitimised by the power vested in appointments/posts. The SANDF (SAMHS) included military rank as one way through which authority is exercised, which means the higher the rank a person holds, the more authority the person has, compared with other lower ranked employees. This is done in order to expand the organisation and to enforce the culture and discipline inherent in the military and other structured organisations. In appointing managers within an organisation, power and authority is distributed to the appointed managers and supervisors as well, and this should be encompassed in the duty/performance delegations. With delegation, the delegated person is also granted authority, accountability and power over the delegated tasks/activities.

- **Coordinating Activities**

Coordinating activities, according to Griffin (2006: 308-310), entails the combination of the broken down activities with regard to the organising function of management, from designing, grouping of jobs and establishment of reporting lines and relationships, including distribution of authority. According to Griffin, coordination of activities is done in order to have a system to drive the sub-activities or tasks towards the achievement of organisational goals and objectives. In coordination, rules and regulations are put in place in order to smooth the relationship between organisational departments, functions and components to regulate the relationship.

- **Differentiating between Positions**

According to Griffin (2006: 311-312), differentiating between positions entails the differentiation between line and staff positions within the organisation. "A line position is a position that is directly involved and responsible in the command chain for the achievement of [the] organisation's goals, whereas a staff position supports line positions with expertise and advice".

3.2.3 Leading

Leading as a management function was described by DuBrin (2006: 8) as the ability to influence others (those led or followers) to gear their performance in the direction that will ensure that they achieve the set objectives of the organisation. Leading was further depicted as involving actions like persuading, inspiring and directing, as well as energising others. DuBrin further explained that there are processes that go with leading, such as motivating, communicating and coaching others on how to reach set goals.

3.2.4 Controlling

DuBrin (2006: 8) and Griffin (1996: 602) respectively described controlling as comparing the actual performance to predetermined standards, and "the regulation of organisational activities so that some targeted elements of performance remain within acceptable limits". According to Griffin (1996: 603), control promotes and enables organisations to measure, as well as to shape, performance in accordance with goals. Control also assists the organisation with adapting to changes within the environment, limiting the accumulation of error, and coping with complexities within an organisation, including minimisation of costs when necessary.

Areas of control include but are not limited to physical (inventory management, quality control, and control of equipment), human (selection and placement, training and development and performance appraisal as well as compensation) and information (environmental analysis, public relations production scheduling, as well as forecasting) and financial resources (income and expenditure).

According to Griffin (2006: 607), controlling also takes place at different levels within an organisation, namely control at strategic, structural, operational and financial levels. Controlling mainly concerns itself with putting a measure in place to ensure that organisational activities/tasks are performed as they should be and comply with set standards of performance.

Griffin (2006: 607-610) further identified four steps in the control process as the establishment of standards (target against which performance is to be compared); performance monitoring and performance measurement of an activity that is constant and ongoing, one that an organisation embarks on in order to assess and evaluate if it is heading in the right direction and is achieving what it is supposed to achieve.

The third step in controlling was stated as a comparison of the actual performance against set standards, which means establishing whether the achieved performance is in accordance with the set standards, or is above or below average. Considering Corrective action is the last step and entails deciding whether the actual performance needs to be corrected because the deviation margin is too large or significant. Sometimes performance that is too high above the expected may pose a problem to an organisation, as well.

Masondo and Shoke (2010: 4/1-6) describe control as the mechanism and processes used to monitor and, where necessary, to take corrective actions, thereby ensuring that behaviours and performance conform to the rules, procedures and standards, as well as desired results. Control is not a once-off activity but a process that is systematic in nature, one that is employed by supervisors/managers in comparing real performance with plans, set standards and objectives and taking corrective action if and when deviations occur.

3.3 Performance Management and Measurement

As stated, performance management came about when organisations could not account for the services provided and resources utilised, both locally and globally, and a need to manage and measure performance came to being. In an article on the Internet (2012), the International Society for Productivity Improvement (ISPI), was established in the United States during 1962, in response to performance management challenges. The main aim of this organisation was to assist workplaces in enhancing and improving productivity. This society used a spectrum of professionals in its endeavour to improve productivity in the workplace. These professionals ranged from human factors practitioners, organisational consultants, certified performance

technologists, project managers and instructional technologists. The widely used method employed by the ISPI is Human Performance Technology, also known as the HPT.

HPT was described by the ISPI article (2012) as the "a process of selection, analysis, design, development, implementation and evaluation of programmes to most cost effectively influence human behaviour and accomplishment". HPT's central concepts are productivity and competence, which are the vital drivers of performance. .

According to the ISPI article (2012), ten principles can be identified for HPT: "HPT should focus on outcomes, it should take a system view, it should add value, it should establish partnership and it should be systematic in the following aspects":

- "Assessment of the need or opportunity;
- Analysis of the work and workplace to identify cause or factors that limit performance;
- The design of the solution or specification of the requirements of the solution;
- The development of all or some of the solution and elements;
- The implementation of the solution and lastly;
- The evaluation of the process and the results".

There is also an ISPI affiliation organisation known as the ImproviD Performance Consulting (Pty) Ltd. that promotes the ISPI values in South Africa and is headed by a certified performance technologist. This organisation assists both profit- and non-profit-making businesses with enhancing productivity and performance.

According to Crafford *et al.* (2006: 245-248), performance management is an organisational system used to manage performance of individuals and groups within an organisation and entails an agreement or contract which stipulates goals and objectives that need to be met, and monitoring of performance against these set goals and objectives.

Intensive management of performance and the measurement thereof came about in SA post-1994, as an attempt at a paradigm shift by the government from focusing on inputs to focusing on outputs with special emphasis on outcomes, according to the

Policy Framework for the Government-Wide Monitoring and Evaluation (GWM&E) by the Presidency, (2007: 5). This paradigm shift has necessitated and promoted the idea that government organisations in their endeavours to fulfil their mandate, should plan for substantive results utilising few resources in order to make remarkable impacts. Services need to be properly planned and mechanisms put in place in order to check if planned services produce the desired outcomes.

Therefore, planned services that are not monitored, measured and also produce results that cannot be reported on are not viewed as progressive in the new SA dispensation. Concepts like value for money came into use as a way of promoting performance management and measurement according to Batho Pele Prescripts (1997).

The UK Treasury (2001: 3) states performance management and performance measurement as two interrelated and interdependent concepts describing the process that includes a range of management responsibilities, from the focus on the management and measurement of the whole organisation's performance, down to managing the performance of individual members of staff through very soft and arbitrary collection of information.
The UK Centre for Business Performance (2005: 6) has stated that the relationships and differences between performance management and performance measurement can be described as follows:

- Performance management entails the full range of managerial actions that ensure available information is connected to enable management in decision-making.

- Performance measurement entails the management's set of actions in determining targets and objectives that will contribute towards the achievement of set goals.

The Centre for Business Management furthermore stated that it is through performance management and the measurement thereof that performance can be rewarded and incentivised.

A Performance Management System was described in an Analytix Article from the Internet (2010) as a systematic approach to performance improvement through an ongoing process of establishing strategic performance objectives, measuring performance, collecting, analysing, reviewing and reporting performance data, and using that data to improve performance and achievements.

Performance management necessitates that measurement of performance should be conducted throughout the organisation, from the top to the bottom levels where goals, strategies and matrices are clearly defined and visible. This simply means that performance management and measurement should be focused on both the micro and macro levels of the organisation.

Public Service Organisations in the transformed Public Sector/Government need to know whether their services are making an impact on the citizens, and should be certain that the impact experienced by citizens is solely as a result of services rendered by the Public Service Sector, and not other factors besides the Public Sector services.

According to Mosley, Breyer and Schütz (2001: 3-4), measurement of performance is associated with the notion of Management by Objectives, whereby senior managers set objectives to be measured by quantitative targets, with associated performance indicators designed to ensure achievement of the set objectives, but allowing considerable operational flexibility and autonomy over the ways in which organisational units, teams and individuals attempt to achieve these goals.

Mackie's (2008: 3) definition of performance management is "government or its agencies in planning, implementing, reviewing, evaluating and reporting the effectiveness of its policy programmes and projects which should be done in a holistic, interdependent and interrelated manner".

Mackie furthermore outlined and explained the differences in the roles played by performance management controls at different levels of an organisation, namely the strategic control measures and operational control measures. Strategic Control measures, according to Mackie (2008: 6), relate to the overall performance of the

organisation, whereas Operational Control measures relate to activities within sub-units of an organisation and usually cover a shorter time period than the strategic. This confirms what was stated about the planning function of management for the different levels (tactical level planning) mentioned earlier in this document.

Mackie (2008: 6) also referred to the difference between performance management and management of performance, with the former meaning that performance management is done within the organisation (intra-organisational), whereas the former (management of performance) is done both internally and outside the organisation (extra-organisational), with management of performance relating to processes of governance and political accountability.

According to Neely, Gregory and Platts, (1995: 80) performance management is the process of quantifying the efficiency and effectiveness of actions. These authors explain that there are three distinct ways in which the performance management process can be approached: firstly checking from a perspective of an individual measure which indicates performance on a single set of criteria. Secondly, checking from a more systematic perspective in an analytic framework designed to understand the relationship between different types of information. Thirdly, checking and understanding performance measurement from the point of view of how the performance measurement system interacts with the wider context, either internally or externally or in terms of market context.

In Kennerley and Neely (2001: 145), the fourth checking dimension to the three above mentioned approach was identified as being performance management that needs to be approached as a "supporting infrastructure" that enables acquiring of data, collation, sorting, analysis, interpretation and the dissemination of all that information after processing.

According to Hicks and Gullet, as cited in Mackie (2008: 6-11), performance management entails performance control measures that should be an integral part of the performance management process. These authors stated that these can be used in various ways, ranging from being used as pre-controls, concurrent controls or post-

controls. Below are brief explanations of performance management control measures by the two authors as cited in Mackie.

3.3.1 What are Pre-controls?

Pre-controls were described by Mackie (2008: 7) as strategic, tactical and operational plans in which goals and objectives with regard to performance measures are set. Plans at all levels of the organisation serve as blueprints for performance that will eventually be translated into results.

3.3.2 What are Concurrent controls?

Concurrent controls were described by Mackie (2008: 8-10) as regular reporting of information regarding performance against established objectives and targets. Concurrent controls involve the continuous monitoring and review of the contents and achievement of performance plans at all levels of the organisation, including inputs of all employees within the organisation.

3.3.3 What are Post-controls?

Post-controls were described in Mackie (2008: 10-11) as involving the reviewing of achievements and failures over a period, e.g. a year, also highlighting the causes of achievements and noting of failures.

Simply put, this, according to the researcher, means evaluation of programmes or services rendered. Commanders within SAMHS should possess knowledge and skills to optimally review achievement of goals set in their annual plans, individual employee's job delegation or performance management plan.

The UK Audit Commission (2008: 22-24) article from the Internet highlighted various roles provided by performance management, which were mentioned by different sources as follows:

- **Citizen Accountability**. The citizens have the ability to pressurise and ensure that elected politicians engage and consult with them, in order to confirm that services provided are appropriate and according to their needs and are of approved quality.

- **Political Accountability**. The applicable question here, according to the Audit Commission, concerns "whether services are doing what politicians wanted them to do and how well they are doing this". Accountability of service provision by politicians is central here and is adopted where there is some form of institutional separation between delivery and political decision making.

- **Management Accountability**. Information to management should be of such a nature that it enables management to make informed decisions pertaining to allocation of resources, investments, and changes to service models and staff training. Management should be empowered and developed, in knowledge, skills and attitudes to manage information provided to them in order to utilise this provided information optimally. Management should be competent enough to ensure that when information is made available to them, they can make use of the provided information to make decisions with regard to performance management, including the clarification of their tasks and responsibilities concerning the roles they have to fulfil.

- **Consumer Accountability**. Public service users are offered a choice over the service or the provider that they use with the assumption that the performance information might encourage them to act like a consumer in a market. Simply put, this means that information about service provision should be made visible through publications or reports, so that consumers can make their own evaluation with regard to an excellent performing service provider and preferred service provider. This can be aligned in the South African public sector with the prescripts that promote access to information within the public sector organisation by the broader South African community, when deemed

necessary.

Different authors such as Rummler and Brache, as well as Mohrman, were quoted in Spangenberg (1994), in explaining and describing performance management as applicable at different levels within an organisation, namely at organisational, group and individual levels, with various stages in the process. Rummler and Brache, as cited in Spangenberg (1994: 26), identified levels of performance in an organisation as process and job/performer, which were combined with three performance-related needs, namely the goals need, design need and management need.

According to Spangenberg (1994: 27), the goals need at each organisational level should be formulated to ensure that the specific standards, product service quality, timeliness and cost are in line with customers' expectations. Mohrman (as cited in Spangenberg, 1994: 27) defined design needs as "those structures at each level of the organisation that includes the necessary components that promote goals to be efficiently met".

Furthermore, management needs (in Spangenberg, 1994: 27) were described as practices of management at each organisational level that ensure that goals set are current and relevant and are being achieved. The three levels within an organisation were further stated (by Rummler & Brache, as cited in Spangenberg, 1994: 26-27) as requiring management practices that ensure that goals are current and are being achieved.

The three organisational levels and needs were further explained as forming nine performance variables, with three variables at each level. Firstly, the goals needs performance-related variables were stated as Organisation goals, Process goals and Job/Performer Goals. Secondly, the design needs performance-related variables were stated as Organisation design, Process design and Job design, and lastly, the Management needs-related variables were stated as the Organisation management, Process management and Job/Performer Management.

Rummler and Brache described Organisational management and its processes as entailing four main elements, namely goal management, performance management, resource management and interface management (quoted in Spangenberg, 1994: 130-134). Below are the organisational management processes as described by Spangenberg:

- **Goal Management.** This entails each function at an organisational level that needs to have its own goals that support the achievement of the entire organisational goals. These goals should be formulated in such a way that they facilitate the function to be optimal, and the system as a whole to be effective. The levels of the overall process goals make it possible for the establishment of sub goals throughout the process.

- For each step that is critical to the achievement of a goal, process sub goals need to be established and this is sometimes known as process mapping. Process mapping involves the outlining of all processes necessary to achieve an identified goal, from the initial to the final step of the achievement of a set goal.

- **Performance Management.** Spangenberg (1994: 131) stated that, for strategic goals to be achieved, performance has to be managed, which includes the need for regular feedback on product/programme performance, feedback information to be channelled to the relevant departments, problem-solving on a cross-functional level and the adjustment of goals as required (and this simply means that performance needs to be monitored and reported on continuously). Managers should set goals and sub goals as soon as the process has been established. Spangenberg describes the performance management process as follows:

    - "The establishment of a system for collecting customer feedback on the outputs of the process (both internal and external if appropriate).
    - Monitoring of the process performance against the goals and sub goals.
    - Feedback of process information to the functions that are involved.

- The establishment of a mechanism to solve process-related problems and continuously improving process performance.
- Adjusting goals to meet new customers' needs", Spangenberg (1994: 132)

- **Resource Management.** According to Spangenberg (1994: 132), management of resources needs to be executed in an effective manner at an organisational level to ensure that allocation is done across the entire horizontal organisation. Process-focused resource allocation tends to differ from the usual function-oriented approach, as the human resources (people) as well as financial resources (money) are only determined after the determination of the process goal. This ensures that resource allocation for each function is done in accordance with the contribution expected towards the overall process, e.g. quality, timeliness and cost for process.

- **Interface Management.** Spangenberg (1994: 133) states that the systems view of performance at organisational level is central as it contributes to the realisation and achievement of goals, opportunities and the interrelatedness and interdependency between departments and sections. A process-and-performance-oriented manager would closely monitor the interface and remove obstacles to effectiveness and efficiency. Performance, Goal and Resource, as well as Interface Management, go together and are interrelated for the efficiency of the organisational performance management process.

3.4 South African Performance Management Legislative Framework

Since 2004, the government, with the guidance of the Cabinet, has realised that, though it has made strides with regard to addressing the imbalances created by the pre-1994 government, it needed to make a paradigm shift from output-based to outcome-based service delivery. In 2007, the South African Presidency promulgated a number of policies and frameworks aimed at facilitating and promoting outcome-based as compared to output-based systems of performance and service delivery.

Policies and frameworks like the Government-Wide Monitoring and Evaluation System, also known as the GWM&ES; Improving Government Performance: Our Approach; and the National Treasury's Framework for Managing Programme Performance Information, to name but a few, were promulgated in 2007, as a measure to enhance management and measurement of outcome-based performance.

The GWM&ES as a framework (2007: 2) is overarching and guides performance management and measurement as well as sketches the policy context and supports other performance management and measurement frameworks. The Policy on Improving Government Performance is aimed at improving the effectiveness of government actions and service delivery that produces results that can be measured, as stated in the GWM&ES framework (2007:3). The key concepts in this framework are performance monitoring and evaluation.

The National Treasury's Framework for Managing Programme Performance Information (2007:1) was aimed at clarifying definitions and performance information standards, improvement of integrated structures, systems and required structures to manage performance information.

In 2008, Statistics South Africa promulgated a South African Statistics Quality Assurance Framework (SASQAF), with the aim to promote statistical information of quality and the maintenance thereof, within a decentralised system of statistics production. Furthermore, the aim of the SASQAF was to provide a structure that is flexible for assessing statistical products and the quality of data produced. This was done by establishing standards, criteria and practices that protect the integrity of gathered information.

The above-named policies and frameworks are applicable to all public service organisations and all spheres of government in the RSA including the SANDF as a public service organisation. Therefore, the SANDF's performance management systems are guided by applicable National Government Policies and should support the achievement of National Government goals.

3.4.1 The Constitution of the Republic of South Africa

The Constitution is the supreme Law on which all Legislation should be based in SA. All the Legislative frameworks are discussed below are based on and support the Constitution of SA. According to Chapter 10, section 195(1) of the Constitution (1996: 111), the basic principles governing public administration that are performance management-related are as follows:

- "The Public Administration should promote and maintain a high standard of professional ethics.
- Public administration should be transparent, accountable and development-orientated.
- Services should be provided impartially, fairly, equitably and without bias in the Public Service.
- Resources should be utilised efficiently, economically and effectively in the Public Service.
- People's needs be responded to in the Public service, and the public must be encouraged to participate in policymaking.
- Public administration must be accountable.
- The Public Service should be transparent with timely, accessible and accurate information".

The above-mentioned Constitutional Principles are viewed by the researcher as the contributing principles to the Performance Management frameworks, policies governing performance management in SA government and the broader Public Service.

Furthermore, in Section 92 of the Constitution (1996: 57) members of Cabinet are described as "public sector officials who are collectively and individually accountable to Parliament for exercising their powers and the performance of their functions". The above-mentioned section also states that members of the Cabinet must on a regular basis provide reports to Parliament concerning matters under their control.

This simply means that the Minister of Defence, as a member of Cabinet, should on a regular basis provide regular reports concerning the DOD matters, including performance of this institution.

Section 133 of the Constitution states that Members of the Executive Council (MECs) of provinces are accountable to the provincial legislature and should provide reports concerning matters under their control. Translating this to the SANDF, this will imply that the Service Chiefs should provide reports to the Chief of the SANDF (C SANDF) about matters under their control (service delivery and performance reports) and in return, the C SANDF will provide the said report to the Minister of Defence and eventually to Parliament.

3.4.2 White Paper on Transforming the Public Service (WPTPS) –"The Batho Pele Prescripts", 1997

In line with the Constitutional principles, the Department of Public Service and Administration published the WPTPS, Batho Pele – "People First" in 1997. The "Batho Pele Prescripts" call on all departments within all spheres of government to live Excellence and ensure that Performance Excellence is realised. The WPTPS (1997: 16-22) also provided a blueprint to be followed in order to enable national and provincial departments to develop departmental performance excellence strategies. The identified strategies highlight the need to promote performance improvements continuously in quantity, quality and equity of service provisions.

The spheres of government, among other things, are required to ensure the following:

- That Public Sector organisations compile a mission statement for service delivery, together with service guarantees;
- Service standards and performance indicators are to be set, outputs and targets to be clearly defined;
- Monitoring and Evaluation structures and mechanisms should measure progress to be set out and introduction of corrective action (where appropriate) to be put in place;

- Staffing plans to be drawn for human resource development and organisation capacity building, tailored to Performance Excellence needs;
- Financial plans to link directly with budgets and needs per service as well as personnel plans to be set;
- Service delivery provision plans to be drawn for potential partnerships with the private sector, non-governmental organisations and community-based organisations for development purposes;
- The development of a culture of customer care and of approaches to service delivery that is sensitive to issues of race, gender and disability to be promoted through training.

3.4.3 Skills Development Act, 97 of 1998

This Act promotes development of employees for enhancing performance through activities such as skills audits. Through auditing the skills and competencies, the organisation will be made aware of the capabilities of its employees and challenges that may be experienced due to identified gaps. According to this Act, Workplace Skills Plans should be designed, developed and eventually implemented for gaps identified amongst employees to enhance performance. This Act reinforces the notion of continuous learning to bridge the gap of innovation and technological changes.

3.4.4 The White Paper on Public Service Training and Education, 1998

This White Paper was aimed at coordinating training and education in the public sector, as this was seen as fragmented. Furthermore, this White Paper also promotes the notion that training in the public sector should be needs and competency- based, as well as be linked to the strategy adopted by the institution. Although the focus of the White Paper is on formal training, it also makes provision and recognises other training approaches such as job rotation, coaching and monitoring. It is the researcher's view that the aim this White Paper links with and is relevant to the study, as the study is aimed at determining whether there is a need for a performance management training programme amongst the SAMHS commanders and also to determine their competency levels.

3.4.5 The Public Service Regulations, 2001

In line with the Public Service Act, Act 103 of 1994 as amended, the Public Service Regulations, were put in place in 2001. These Regulations are viewed as a measure of putting into effect the Public Service Act and it consolidates the amendments made to the previous regulations, as well as makes provisions for the new dispensation for senior management. Furthermore, these regulations seek to require that the qualifications and suitability of persons be verified before appointment. The Public Service Regulations also seek to amend provisions regarding the content and format of certain information to be included in the annual reports.

Chapter 1 of the Public Service Regulations, 2001 focuses mainly on the Individual's Performance Management, which, according to the researcher is crucial as a foundation for Organisational Performance Management and Measurement/ Assessment.

If individuals within the DOD can understand performance management collectively, they will understand the contribution and impact of their performance inputs on the broader organisation. Individual members within the DOD need to be empowered with regard to performance management and measurement governance and theory in order to be sensitised and equipped with regard to the importance of this phenomenon. Chapter 1 of the Public Service Regulations deals with general provisions. Three parts are deemed relevant to Performance Management by the researcher, namely Parts II, III and VIII, which are discussed briefly below.

Part II of Chapter 1. This part deals with delegations, authorisations and responsibilities of heads of departments. The principles underlying this part requires that executing authorities within public sector organisations need to provide heads of departments with appropriate powers and authority, in order to enable them to manage their departments effectively and efficiently.

The delegations and authorisations issued to heads of departments by the public sector executing authority are used as standards for measuring their performance.

Performance within and in compliance with delegated powers, authority and authorisation limits, are viewed as positive, while those that are non-compliant are regarded as negative and need to be rectified or amended.

Part III of Chapter 1. This part deals with planning, organisation of work, and reporting. The principles underlying this part are that the executing authority, in order to provide services with the best value for money, shall:

- Set measurable objectives for his/her department;
- Optimally utilise the department's human and other resources;
- Plan and execute functions with an efficient and effective internal organisation within available funds, based on the department's and the government's service delivery objectives and mandates;
- Develop human resources;
- The executing authority to allow oversight by public and legislature and to publish an annual report providing key information on his/her department.

This part also states that an executing authority shall prepare a strategic plan for his/her department that contains the following:

- "Core objectives of the department that are Constitutional, functional and other legislative-related mandates including the service delivery improvement programme;
- Describe the core and support activities necessary to achieve the core objectives, avoiding duplication of function;
- Specifying the functions that will be internally performed and those that will be contracted out;
- Goals and targets to be attained in the medium-term, to be described;
- Set a programme for attaining the identified goals and targets;

- Specifying systems for the information to be used to enable the monitoring of progress towards the achievement of goals, targets and core objectives by the executing authority";

- In implementing the strategic plan, the executing authority shall promote efficient, economic and effective use of resources to improve the functioning of the department, according to the South African Public Service Regulations (2001).

Included in this part is the establishment of a service delivery improvement plan and a strategy for sustainment by the executing authority for his/her department that contains the following:

- Specific services to be provided to the different types of actual and potential customers, as identified by the department;

- The programme to contain consultation arrangements with the department's actual and potential customers;

- Indicators for standards set, for the main services, to be provided;

- Cognisance to be taken regarding barriers to customers accessing services and the means to minimise and eliminate the identified barriers;

- The programme to contain arrangements about how information about the department's services is to be provided;

- The stipulation of a system or a complaints mechanism.

According to this part, the executing authority will publish an annual statement of public service commitment which has to set out the department's service standards that citizens and customers can expect.

Chapter 1, Part VIII of the Regulations deals with performance management and development in the public service and is deemed important regarding all parts relating to the researcher's study. The principles underlying this part are stated as performance within departments has to be managed in a consultative, supportive and a non-

discriminatory manner in order to enhance organisational efficiency and effectiveness. This part requires that public sector organisations use allocated resources efficiently, and accountability should be ensured in order to achieve desired results.

Furthermore, this part states that the primary orientation of performance management should be development-oriented, but should also allow for effective response to consistent inadequate performance. This part also requires that outstanding performance should be identified and recognised.

It is also the aim of this chapter that performance management processes should be aligned with the department's strategic goals and be consistent as well as linked to plans that aim to develop staff.

Procedures for performance management should minimise the administrative burden on supervisors while maintaining transparency and administrative justice.

Furthermore, it is also stated in this part that the executing authority shall determine a system for performance management and development of employees in his/her department other than employees who are members of the Senior Management System (SMS), consistent with the principles in the regulation, as stated above, that need to be implemented by all departments.

It is stated in this part that the executing authority has to designate the period in respect of which performance is to be assessed; the annual date for the assessment of performance; and the supervisor responsible for monitoring, supervising and assessing the employee's performance; in writing for each employee (with the exception of members of the SMS).

The SMS employees are those members on salary levels 12 and above in the Public Service. These members in the SANDF (SAMHS) hold a military rank from Colonel upward, and they comprised the study population.

The roles and responsibilities of the supervisor regarding performance management, including timelines, are also outlined in this part. The SANDF (SAMHS) is also governed by the Public Service Regulations.

The type of assessment instruments that can be used to assess employees' performance is also stipulated, namely single instruments for individual employees and/ or a performance assessment instrument for different occupational categories or work levels.

An instrument to assess the performance of the individual, according to this part, will assist in deciding employment aspects such as probation, rewards and promotion, as well as skills development. It is clearly stipulated that assessment should be based solely on the information contained in the designated performance assessment instrument, and where disagreements occur; information furnished in connection with the disagreement is to be considered. The regulations in this chapter also outline the ways to manage performance challenges (compilation of a remedial plan) and good performance (incentives or reward), as well as emphasise communication and feedback about performance as a way to manage performance.

3.4.6 The Public Finance Management Act 1999 (PFMA), Act No. 1 of 1999 (As amended)

This Act is aimed at monitoring the use of government financial resources by public officials. It also makes provision for public officials to account for their expenditures. Section 38 states: "the accounting officer for a department, trading entity or constitutional institution must ensure that the department, trading entity or constitutional institution has and maintains a system of internal audit under the control and direction of an audit committee".

The compilation of a Business/Activity Plan and Budget for Public Service entities is also regulated through the implementation of the PFMA, as it states that the business of public sector entities should be authorised. Authorisation of business plans simply means that activities should be planned and outlined in a plan; resources needed are to be outlined and planned for and costed through a budget. The PFMA is implemented to ensure that public sector organisations utilise the government's financial resources in an economic, effective and efficient manner, in order to avoid fruitless, wasteful and unauthorised expenditure.

Through the business planning and budgeting process, public service organisations plan for the activities they will embark on in realising their objectives. These activities are nothing else but their performance.

Expenditure that was not planned for through a business/activity plan by a public sector organisation is regarded as unauthorised. Business/activity plans are authorised by budget allocations annually, for organisations to carry out planned activities. Once a budget has been approved and allocated to public sector organisations, this budget becomes a law that governs expenditure, which means that the budget can only be utilised for the activities planned for in the business/activity plan.

Public sector organisations that need to utilise their budgets for activities that are not planned for in the business/activity plan, need to request prior permission from the Department of the Treasury. Organisations report on their performance in their annual reports. Organisations need financial resources for them to be able to perform planned activities. Performance undertaken, and all records thereof, whether successfully achieved or not, are to be reported on, and expenses incurred should be recorded and monitored.

3.4.7 The National Treasury Regulations No. 27388, as amended in March 2005

The Regulations operationalise the PFMA of 1999, which implies what is abstract in the PFMA of 1999; this will be simplified in the Regulation for easier implementation. Part 9, sections 29.3 and 30.2 (2005: 86-87), deal with evaluation of performance, on both corporate and strategic planning levels, and states "the accounting officer of a public entity must establish procedures for quarterly reporting to the executive authority in order to facilitate effective performance monitoring, evaluation and corrective action".

This implies that performance throughout all levels in the public sector should be diligently managed, monitored and evaluated in order to keep track of both positive aspects and areas of concern and report on a continuous basis.

3.4.8 Policy Framework for the Government-Wide Monitoring and Evaluation (GWM&E) by the Presidency, 2007

This framework was designed as one of the endeavours by the SA government to promote and enhance performance management and outcome-focused service delivery in the new dispensation.

This framework was drafted in 2005, ten years post the new government dispensation, and was finalised and approved for implementation in June 2007. The framework aims at providing a systematic, integrated and encompassing framework of Monitoring and Evaluation principles, practices and standards to be used throughout Government. The aim of this framework is to increase effectiveness and developmental impact (Presidency GWM&E Framework, 2007: 5).

Furthermore, it was stated that the GWM&E framework emphasises Monitoring and Evaluation as the key processes that can assist the public sector in evaluating its performance and identifying the factors which contribute to its service delivery outcomes (GWM&E Framework, 2007: 5).

Concepts for monitoring and evaluation are utilised according to the framework and in most performance management legislation are "inputs, activities, outputs, outcomes and impacts". These concepts will, therefore, not be discussed repeatedly in all legislation mentioned, but only once. With the GWM&E Framework, public service organisations are enabled to draw a causal relationship between the choice of programmes/policy priorities, the provision of resources for those programme/policy objectives, the programmes designed to implement them, the services actually delivered, and their impact on communities.

This simply means that public service organisations need to plan, budget and implement their plans and measure the outcomes achieved/not achieved by the programmes. Monitoring and Evaluation systems can be employed as tools for managing and measuring performance.

The five Monitoring and Evaluation concepts identified as crucial in the GWM&E Framework (2007: 2), namely inputs, activities and outputs, as well as outcomes and including impacts are described as follows in the framework:

- Inputs are "all the resources contributing to the production of service delivery outputs, and is what we use to do the work or what we use to work".
- Activities are "the actions that use a range of inputs to produce the desired outputs and ultimately outcomes or what we do".
- Outputs are "the final products, goods and services produced for delivery or what we produce".
- "The medium-term results for specific beneficiaries, which are the consequence of achieving specific outputs, are outcomes".
- Impacts are "the results of achieving specific outcomes", such as reducing illiteracy and promoting empowerment.

According to the GWM&E Framework (2007: 3), there are Monitoring and Evaluation (M&E) principles that are deemed crucial to Performance Management, namely improving governance, which emphasises transparency, accountability, participation and inclusion; secondly, M&E should encompass aspects stated in the Bill of Rights; thirdly, it should be development-oriented on both institutional, national and local levels; fourthly, it should be undertaken ethically and with integrity; fifthly, it should be utilisation-oriented and methodologically sound; and lastly, it should be operationally effective.

According to the GWM&E Framework (2007: 7), its information will be derived from three terrains: programme performance information, social, economic and demographic information, and evaluations. The programme performance information, according to the GWM&E Framework (2007: 8) focuses on the information collected by government entities across all spheres in the course of fulfilling their mandate and implementing government policies.

This information includes output and outcome information collected, annual performance plans, and budgets.

This framework is applicable to the DOD and has been introduced in the organisation, but few members are aware of the framework. One student only became aware of this framework during studies at the university, and other colleagues did not have knowledge of it.

3.4.9 Framework for Managing Programme Performance Information by the National Treasury, 2009

The main aim of this framework is stated as clarifying standards for performance information and supporting regular audits on non-financial information where appropriate. The framework furthermore aims to improve the structures, systems and processes required to manage performance information, as well as to define roles and responsibilities for performance information. The framework also aims to promote accountability to Parliament, provincial legislatures, municipal councils and the public through timely, accessible and accurate publication of performance information. This framework is applicable to the SANDF (SAMHS) as this organisation is also accountable to Parliament and has to report annually on its performance through annual reports.

The importance of Performance Information is also emphasised in the National Treasury: *Framework for Managing Programme Performance Information (*2007) and the under mentioned aspects were deemed pertinent by the researcher:

- "The formulation of strategic plans, which contain measurable objectives and the indication of required resources.
- Determine what levels and kinds of performance are needed to achieve organisational goals.
- Make the performance level attainable by the individuals being motivated.
- Train and encourage people.
- Make explicit the link between rewards and performance.
- Implementation of the planned activities.
- Monitoring and Reporting on achieved results".

This framework supports the PFMA in the sense that financial resources can be motivated by means of evidence regarding planned activities, monitoring through continuous auditing and inspection services and continuous reporting (quarterly and annually) on successes or challenges experienced and putting in place corrective actions where necessary.

3.5 Performance Management in the SANDF

The SANDF as an organisation post 1994 had to align itself to the Constitution of the RSA of 1996 and adapt itself to the principles of this supreme law of the country. The SANDF had to adopt and abide by prescripts such as the "Batho Pele Prescripts", the Public Service Act, Act 103 of 1994 and its 2001 Regulations and the PFMA Act 1 of 1999 and its Regulations, as well as the many other prescripts as stated above in the section on legal frameworks**.** In June 2000, the Department of Defence (DOD) promulgated a Policy on the Continuous Performance Improvement Programme. The policy was promulgated as a way of acknowledging the fact that the organisation is aware of the need for transformation and to improve the organisational system's performance and service delivery.

The Secretary of Defence (Sec Def), being the Accounting Officer according to the PFMA, declared Total Quality Management (TQM) as the official management philosophy and system for the DOD's performance management in the DOD's Policy on the Continuous Performance Improvement Programme (2000: 4). Additional to the TQM, the Excellence Model and the Balanced Scorecard were adopted by the Plenary Defence Staff Council (PDSC) as models through which performance will be measured. The South African Excellence Foundation (SAEF) Model Award system was introduced to reward best performers in the SAMHS.

The Chiefs of Divisions and Services were tasked to ensure that they deploy performance improvement initiatives within their units and entities. It was decided that senior managers, as part of their Performance Agreement, would ensure that there is accounting for performance improvement objectives. Chapter 7 of the Policy on the Continuous Performance Improvement Programme is made up of two sections,

namely the suggestion system and the DOD Organisational Performance and Continuous Improvement Competition and Quality Awards.

The suggestion system was introduced and used for members of the DOD with the aim of encouraging innovative thinking, in the form of suggestions that would enhance performance and save the organisation money. The suggestions made are evaluated, and the best suggestion is awarded a monetary prize. In the SAMHS, the Organisational Performance and Continuous Improvement Competition are annually held and winners are determined using the IG SAMHS internal audit assessment based on the SAEF Model criteria.

In October 2010, the Secretary for Defence (Sec Def) promulgated the Department of Defence Instruction (DODI): Policy and Planning/00096/2005 (DODI /POL&PLAN/00096/2005), Policy, Process and Procedures for Business Management in the Department of Defence with the aim of managing the business process of the DOD in an effective and efficient manner at all levels of the organisation. In the DODI /POL&PLAN/00096/2005, (2010: 3), the Sec Def as the Accounting Officer and the CSANDF as the Executive Authority were described as responsible to "initiate, direct or regulate actions or conduct by officials of the DOD and members of the SANDF to enforce accountability in respect of business processes in the DOD".

The auditable outcomes to be implemented and attained by the DODI /POL&PLAN/00096/2005, (2010: 3-4) that was deemed relevant to the study topic by the researcher and supporting other performance legislative frameworks were stated as follows:

- "Business processes and information systems should be vertically and horizontally aligned with relevant legislation and other higher order business processes and horizontally with the existing level 1 DOD strategy.
- Business processes to be aligned in a manner that will ensure the promotion of effective, efficient and economical utilisation of DOD resources.
- Policy-based business processes that encompass measurable standards with performance-based outcomes to determine its success.

- The use of taxonomies and naming conventions.
- Business process to include internal control measures and accountability that can identify compliance/non-compliance.
- Risk analysis.
- Planning regarding business processes programming and implementation.
- The effect of business processes".

The DOD adopted the Balanced Scorecard as a measure through which it will manage its performance at both organisational and individual level. A Balanced Scorecard strategy map was drawn to translate DOD objectives.

In the DOD Strategic Plan for Financial (FY) 2010/11 until FY 2012/13, the key levers for measuring its internal, external and collective effectiveness using the DOD Balanced Scorecard (BSC) Strategy Map were stated as output deliverables, internal processes, resources management and building for the future. The stated levers were described as providing the framework for the annual performance agreement drawn up between the Minister of Defence and Military Veterans, the Accounting Officer for the DOD and the Chief of the SANDF. The SANDF's Arms of Services have also drawn up their unique Balanced Scorecard, but not all have started with the implementation of this adopted strategy map.

The SA Army is the Arm of Service that has made strides in implementing the Balanced Scorecard. The SAMHS is using the SAEM Model to manage and measure its performance at organisational level. Figure 3.1 is a schematic representation of the DOD Balanced Scorecard as depicted in the DOD Strategic Plan for FY 2010/11 to 2012/13 (2010: 18)

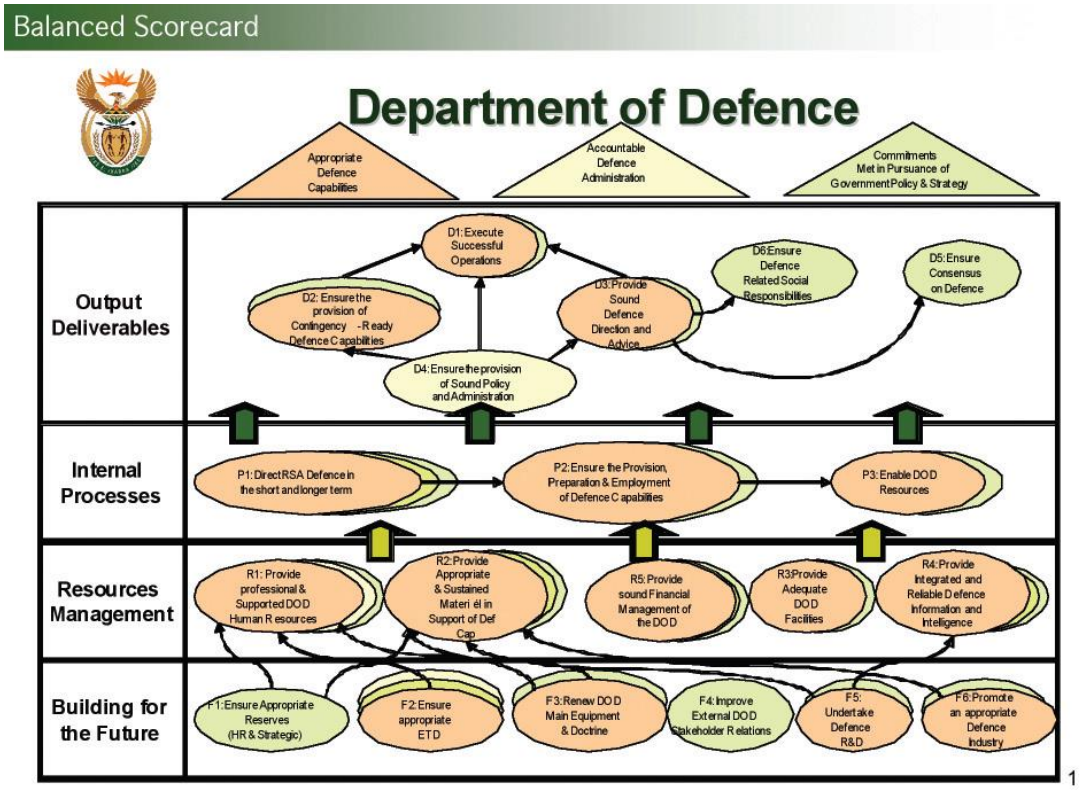

Figure 3.1: The DOD Balanced Scorecard

Source: DOD Strategic Plan for FY 2010/11 to 2012/13 (2010: 18)

The SA Army adopted the Balanced Scorecard as a model for its performance, and this model was made part of the training module in this Arm of Service.

In April 2011, a human resources instruction on performance management and development system in the DOD for DOD officials other than senior management was introduced, namely Department of Defence Instruction (DODI): Policy and Planning/00096/2005 (DODI /POL&PLAN/00096/2005), Policy, Process and Procedures for Business Management in the Department of Defence. The aim of this instruction is to provide the principles, prescripts, instruments and processes applicable to the performance management and development of DOD officials' with effect from 1 April 2011.

The Instruction outlines and explains aspects important for performance management in the DOD, like the assessment period and cycle; it also clearly stipulates role players in performance management and their responsibilities. This instruction was fairly new at the time of the study, and not much information was available on its results. Road shows conducted in the DOD to introduce and promote this new system to different stakeholders. This system is mainly focused on performance management on the micro level (individual employee). The SAEF Model, as the macro-level performance measure, is discussed below in detail, as the adopted means to manage and measure performance in the SAMHS.

According to the researcher, although the SANDF has adopted certain models to be used as a way to manage and measure performance, not all strategic employees have been trained in these adopted models. There are Officers in Command of units in the SAMHS who have not been trained in the SAEF Model, although performance management internal audits are based on this model.

3.6 Performance Management within the SAMHS

The performance of SAMHS as an Arm of Service within the SANDF needs to be guided and shaped by that of broader the DOD and should support the DOD's performance. The Performance Agreements (PAs) of the different Commanders from the different Arms of Service are collectively compiled by the C SANDF in a manner that will promote and support the vision, mission and goals of the DOD. The SG's PA or Delivery Agreement and those of other Service Chiefs are individually drawn by the C SANDF in a manner that will enhance, promote and support this vision, mission and goals with that of the SG focusing more on military health care and support

Therefore, all the generic performance management related policies applicable in the SANDF are equally applicable in the SAMHS. In 2011, when the Performance Management Instruction was introduced, the C HR personnel embarked on a national road show in order to promote this new system. It should be kept in mind that this instruction is used for performance management for individual employees in the DOD, whereas the SAEF Model is used for military units and clinics in the SAMHS.

Other additional performance management-related standards are applicable to the different professional disciplines in the SAMHS. The professional discipline's standards will not form part of the study problem, but only generic performance management issues as outlined for the public sector. In the SAMHS, the HR instruction of 2011: Performance Management and Development System in the DOD for DOD Officials other than Senior Management System (SMS) and the South African Excellence Foundation Model (SAEF Model) are the two main systems being used to manage and measure performance at micro and macro levels respectively.

There are also other Performance Management and Measurement-related systems in place that are used in the SAMHS for smaller groups like military health facilities and individuals within those facilities. Standards are set for the measurement and the management of the different professional groupings that are used to conduct the assessments. Annual incentives related to the performance management systems in place in the SAMHS are awarded by the SG annually. A floating trophy is awarded on an annual basis to a military health unit with high performance points, and there are other two categories of winners, also for performance-related awards: the second best and, thirdly, the best improved.

Although the SAEF Model training was presented to the DOD members from 2002 until 2006, this training has been stopped and no further training has been planned and conducted to date. There are members in management posts in charge of military health units within the SAMHS who have not undergone SAEF Model training, but performance management assessments of military health Units within the SAMHS are still based on the SAEF Model, despite the discontinuation of training on this model.

The SAEF Model assessment within the SAMHS is carried out through scheduled internal audits or voluntary entry for assessment using this model. These internal audits are conducted by the IG SAMHS internal auditors. Performance Management/Measurement at the micro level within the SAMHS is done by the management groupings, whereas the Performance Management/Measurement according to the SAEF Model at a macro level is done by the IG SAMHS.

All SAMHS units scheduled for internal audits are automatically assessed using the eleven criteria of the SAEF Model and are scored accordingly in order to determine the best unit.

The internal auditors within the SAMHS who are trained in the SAEM Model are used to conduct assessments related to the model. An in-depth discussion of literature and DOD and SAMHS performance management-related prescripts, and identified performance management-related needs are discussed in this literature review and the chapters dealing with the empirical study respectively.

3.6.1 The South African Excellence Foundation Model

The Excellence Model was introduced in South Africa in 1997, and the Excellence Foundation was formed for adopting the Excellence Model as a measure to manage performance. The South African Excellence Foundation (SAEF) was formed and adopted by founding companies such as Armscor, the CSIR, Daimler Chrysler South Africa, Eskom, the Greater Pretoria Metropolitan Council, the Groman Consulting Group, Honeywell Southern Africa, Ideas Management-Southern Africa, the SABS and the South African Society for Quality, as well as the South African Quality Institute and Standard Bank of South Africa. Members of the SA Air Force were among the first members of the DOD who attended SAEF training and later decided to customise it into a DOD model and rendered training to colleagues within the military.

The SAEF Model training was incorporated in the training curriculum of some military courses until 2006. The SAMHS adopted the SAEF Model as a model through which they will manage and measure performance at unit level, and an award system for best performer was introduced. Several performance management internal audits that were conducted in the SAMHS have indicated a lack of training in the adopted model (SAEF) as an obstacle to managing performance at organisational level, as well as objectives that are not measurable in the Annual Activity plans.

Below is a schematic representation of the model as outlined by Schoeman (2005: 32) is presented in Figure 3.2.

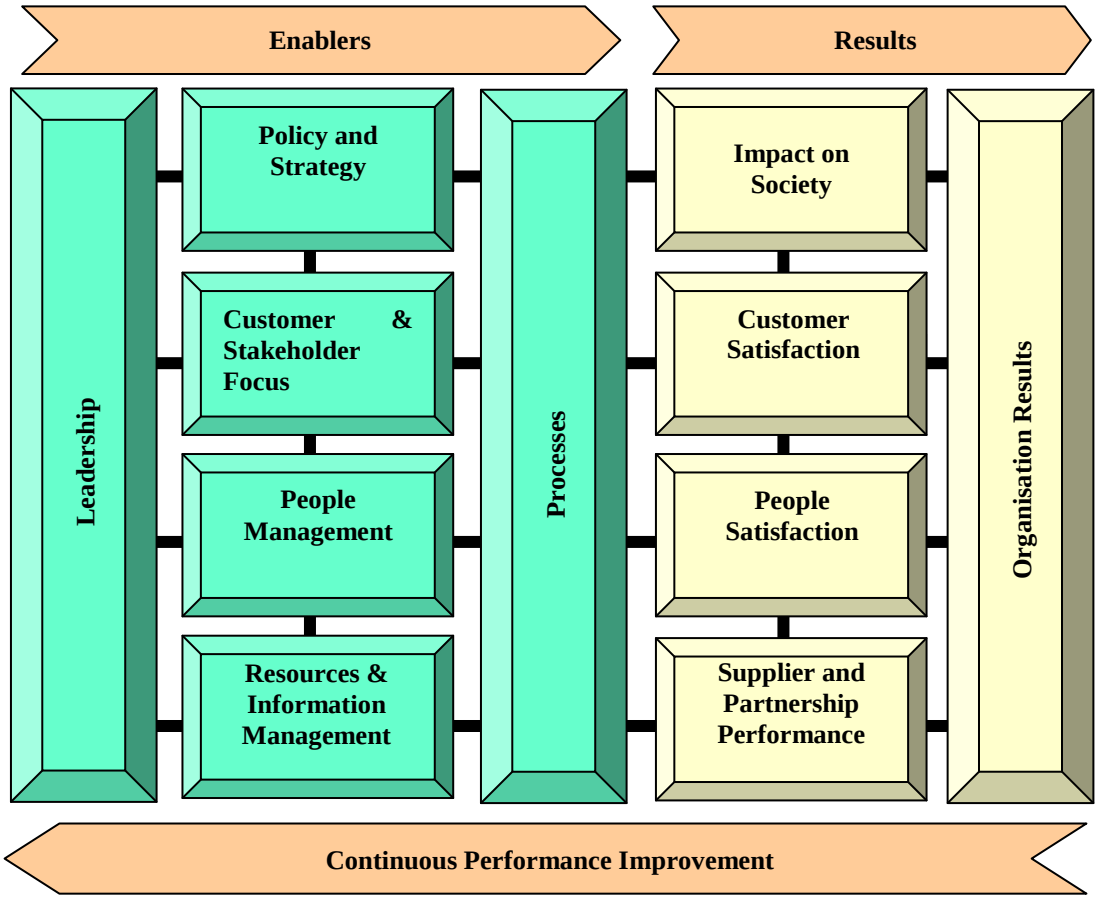

Figure 3.2: Schematic representation of the SAEF Model
Source: Schoeman (2005: 32)

3.6.2 What are the Criteria for Performance Excellence?

There are eleven performance excellence criteria divided into seven enablers and four results criteria in the Excellence Model. Furthermore, Schoeman (2005: 51) stated the aim of the model as to provide the organisations with an integrated framework that is results-orientated, based on the fundamental concepts of excellence, for implementing and assessing processes for managing all operations inclusive of related performance.

The enabler criteria of the SAEF Model are leadership, policy and strategy, customer and stakeholder focus, people management, resources and information management, processes, impact on society, customer and stakeholder satisfaction, people satisfaction, supplier and partnership performance and organisational results, as stated by Schoeman (2005: 52).

The eleven SAEF Model criteria can be divided into Cause/Enablers, being "What is done"? and Effect/Results "What is achieved"? There is a standardised definition for all the criteria of SAEF Model and 350 bullets/areas to be addressed to ensure Excellence. These bullets are guidelines concerning actions and activities to be undertaken in order to enhance performance and measure results. It was during internal audits on this model that the researcher came across commanders within the SAMHS who were experiencing challenges in implementing the adopted model for performance management, as some commanders viewed this model as only suitable for businesses that are profit-orientated.

It was also through available performance management internal audit reports that the researcher realised that performance management is a challenge within the SAMHS, either due to a lack of a training programmes in this institution or maybe other unknown factors. This prompted the researcher to pursue this problem with the aim to determine the underlying cause. In the following section, needs assessment theory is outlined in relation to the study topic.

3.7 Performance Audits

According to Rummler (as cited in Rothwell & Kazanas, 1994: 80), performance audits can be used to identify improvement programmes yielding high payoffs and contributing to effective and efficient jobs. Rummler (cited in Rothwell & Kazanas, 1994: 81) furthermore described performance audits as involving examining job context, incumbents, desired actions or decisions and results, as well as feedback to incumbents on results.

Rummler (cited in Rothwell & Kazanas, 1994: 86) further stated that there should be a clear distinction between the three levels of analysis, namely policy, strategy and tactics. Policy-level analysis was stated as focusing on the identification of performance improvement programmes yielding the highest payoffs; strategy-level analysis focuses on the ways of defining and improving a job; and tactical-level analysis focuses on ways of making people more efficient. With the intended study, although the target population and the sample are the Commanders in SAMHS, they

also constitute all levels as identified by Rummler in the sense that they are utilised at the three levels of the Organisation, namely at Policy formulation/Strategic, Tactical and Operational levels.

Performance audits are audits conducted in order to ascertain whether activities as outlined in the Annual Activity Plans by organisations are carried out as planned and envisaged outcomes are achieved. Performance audits also determine whether there any deviations from the original plans are noted and causes of deviations. Corrective measures necessary to rectify any deviations should be noted in order promote better performance.

According to an article by the Auditor General on the Institute of Internal Auditors Research Foundation (2003), organisations need to set standards and indicators against which they will measure their performance.

3.8 Needs Assessment Theory

Needs assessment involves a comparison that will lead to the identification of a deficiency between the present condition and the criteria within an organisation, where a condition is "what is"; and criteria involve "what should be"? According to Rothwell and Kazanas (1994: 80), a comprehensive needs assessment is a "process of specifying present but general gaps between what people should know or do and what they actually know or do, and also pinpoints what they know, significant talents, skills or competencies (strengths) and what they need to know (weaknesses) ".

Furthermore, McGhee and Thyer (as cited in Rothwell & Kazanas, 1994: 79) described the history of needs assessment as stemming from three different examinations that need to be individually carried out and synthesised for better results, namely Instructional needs stemming from Organisational analysis (needs stemming from production, legal and other requirements); operations or work analysis (needs stemming from work tasks); and, lastly, individual analysis (needs stemming from individual performance problems).

The need identified through the comparison and eventually the identification of a deficiency was further described by Rothwell and Kazanas as instructional needs and was said to be resulting from either lack of knowledge or skills not met through appropriate instruction. It was also stated that there are also non-instructional needs (needs stemming from poor motivation, poor job structure and lack of incentives, as well as lack of ability) and these can be met by means other than instructional programmes.

In an internet article by Cushard (2012), there is a distinction between wants and needs and when conducting an assessment, the researcher must be clear that the assessment conducted addresses what it should, and is the correct assessment. These two authors differentiated clients' needs as the "root cause analysis, organisational performance change and sustainability". Further, clients' wants we described as "results, performance change and solution that is easy to access and use". They explained that clients' wants are straightforward whereas needs can take time to address and satisfy. Cushard also stated that, in addressing root causes, lasting change can be accomplished, but sometimes root causes can be other issues within the organisation, such as organisational processes, and other obstacles, and not only lack of knowledge and skills. The researcher agrees with these authors about the root causes of clients' needs, but for the particular study, the researcher made an assumption that a knowledge gap is the major cause of the performance management challenge.

Griffin (1996: 394) stated that assessing training needs is the first and utmost step to determine the existing needs prior to developing a training programme. Griffin furthermore differentiated between training and development by stating that training refers to "teaching operational or technical employees how to do the job they are hired for, whilst development refers to teaching managers and professionals the skills they need for both present and future jobs".

Various training methods (lectures, conferences/workshops, role plays, on-the-job training or vestibule training, sensitivity training and business simulations including interactive video) are described by Griffin (1996: 395).

Griffin also highlights that the method for training depends on various factors, but the content of the training programme is regarded as a crucial aspect that needs to be considered. This is what the researcher tried to determine with the study, as the participants were also asked what they would like to be covered in the performance management training programme.

According Grobler, Warnich, Carrell, Elbert and Hatfield (2006: 304-306), needs assessment is the first and crucial step in training, when one approaches training from a system model and can be conducted at various levels, namely the organisational analysis level, the operations analysis level and the personal analysis level within an organisation. It is sometimes not necessary to conduct needs assessment on each level of the organisation.

Needs assessment, at the operations level, is said to be serving the purpose of determining how a task/job is supposed to be performed and the collection of data on how members can be equipped with skills in order to perform their tasks/job for formulating the training programme/s. Needs assessment was defined by Grobler *et al.* (2006: 554) as "the process used to determine if training is necessary by evaluating the organisation, individual employees and the tasks of employees".

The main focus of individual analysis needs assessment is to identify the individual/employee who needs to be trained. The two areas covered by the needs assessment on this level firstly concern itself with identifying employees/individuals that are in need of undergoing training and, secondly; to identify specific skills, knowledge and abilities or attitudes needed by those individuals/employees.

According to Gerber, Nel and Van Dyk (1998: 462), the needs assessment of employees is to be made in relation to the necessary competencies required for a particular job/activity to be carried out.

Miller and Osinski (2002) stated that the purpose of training needs assessment as follows:

- "to identify performance requirements or needs within an organization in order to help direct resources to the areas of greatest need, those that closely relate to fulfilling the organizational goals and objectives, improving productivity and providing quality products and services".

These authors also indicated that needs assessment is the central step in the establishment of training and development programmes.

3.9 Training

Training, according to the Military Dictionary (1993: 375), is an "Instruction in, and a practice in education". Slocum (1996: 394) defines training as "improving an employee's skills to the point where he or she can do the current job". Training undertaken as a means to change and update knowledge and skills in a systematic and planned manner aims to empower employees to perform and achieve organisational goals.

Every organisation requires specific training to address its specific and unique needs, which are dictated by the ever-changing environment they find themselves in. Training helps organisations with getting tasks to be completed as required in order to accomplish goals, therefore training is task-oriented. The ever-changing work environment that results from technological innovation necessitates that training should be carried out on a continuous basis.

Gerber *et al.* (1998: 453), define training as "an organised set of learning activities capable of improving the individual performance through changes in knowledge, skills or attitudes". The various methods of conducting training are identified as Off-the-Job Training, Apprenticeship Training, On-the-Job Training and Vestibule Training. Gerber *et al.* (1998: 454) state that, when approaching training from an on-the-job training perspective, new or less experienced employees will be put to work under the guidance of experienced employee. On-the-job training can be conducted through various methods, such as coaching, job rotation, junior boards and job instruction training, as well as understudy or learner-controlled instruction. Further

different training methods are identified as simulations, programmed instruction and videotape as well as role playing.

Grobler *et al.* (2006: 555), described on-the-job-training as an "informal approach to training whereby the employee is shown how to perform the job and then allowed to do it under the trainer's supervision". "On-the-Job-Training may range from learning how to run a machine, complete reports and related computer/paperwork, conduct an interview or sell a service or product". On-the-job training is the training method where the employee/s or individual/s acquires the knowledge, skills and background about a particular task/s or activity/ies through learning by doing the task/activity continuously over a period of time. During on-the job training, trainees learn by observation of others who are regarded as knowledgeable and imitating what they do.

Plunkett (2000: 410) defined and explained training as a continuous process provided by knowledgeable people through specific methods or machine aid appropriate to the training subjects, covering the topics/subjects to be taught. Furthermore, Plunkett identified training as a mode through which knowledge, skills and attitudes are imparted to the individual/s trained.

Training was described by Erasmus and Van Dyk (quoted in Van Dyk, Nel, Van Loedolff & Haasbroek, 2001: 147) as a planned and systematic process embarked on by organisations in order to address identified gaps regarding knowledge, skills and behaviour of employees in order to enable employees to achieve the objective of the organisation.

Coaching, according to Grobler *et al.* (2006: 553), is feedback about training by immediate supervisors to employees on a one-to-one basis, while Gerber *et al.* (1998: 473) describe coaching as regular guidance of less experienced/junior employees by more experienced/senior employees about the job details with the purpose of the less experienced/junior employees gaining knowledge and skills. Coaching is also sometimes referred to as counselling. It is a method of training, where the trainee or less experienced employee, is under the instruction of a senior or more experienced employee for the purpose of developing that person to realise their potential.

Training is described by Crafford *et al.* (2006: 210) as bringing about behavioural changes that are required to meet the goals of an organisation and are meant to improve the employee's performance.

Furthermore, the above-mentioned authors indicate that, for training to be successful, the organisation needs to adopt a model for developing programmes for training and listed the following as steps to be followed:

- Determination of training needs.
- Establishing goals and objectives for the training.
- Development and testing of the developed training material.
- Implementing the training programme.
- Evaluation of the training programme.

As identified above, this study is only concerned with fulfilling the first step.

Grobler *et al.* (2006: 556-560) explain mentoring as another way of training and describe it as a process whereby an experienced manager is dedicated to coach, advise and encourage individuals with lesser experience. Mentoring is a process in which a less experienced employee is assigned or chooses an ideal employee within the workplace as a role model, and uses that individual as an aid to improve his/her knowledge and skills base.

Understudy is another method of training utilised where the less experienced employee/s is temporarily being placed under the more experienced employee/s for the purpose of learning the various work processes and procedures applicable from the more experienced employee/s, with the main aim being training.

The researcher concurs with the definitions, descriptions and explanations of training and the different methods that can be adopted as stated by the above-named authors in the sense that life is dynamic and no individual can reach saturation levels with regard to acquiring new knowledge, skills and attitudes in order to improve and better their performance. The knowledge, skills and attitude of the SAMHS Commanders provide the focal study subjects regarding Performance Management training.

3.10 Knowledge

According to Van Nieuwenhuizen and Rossouw (2008: 3), knowledge is the fifth factor of production together with other factors such as machinery, land, financial resources and labour. Knowledge has been described by Slocum (1996: 615) as "concepts, tools and categories to create, store, apply and share information".
Furthermore, Van Nieuwenhuizen and Rossouw stated that knowledge can be stored in different formats, for instance in a book, a computer program or a person's mind.

According to Robbins and Barnwell (2006: 276), knowledge can be classified in two categories, namely tacit and explicit knowledge. Tacit knowledge is described as that knowledge possessed by individuals specific to a particular context, but difficult to formalise and not easily communicated to others. Explicit knowledge, to the contrary, is described as codified knowledge that may be transmitted in formal, systematic language that may take the form of protocols to be observed when carrying out a task or standard working procedure for carry out a certain procedure. The DOD is heavily reliant on protocols and standard operating/working procedures depending on the different levels of this organisation.

Simply put, tacit knowledge is that knowledge possessed by individuals that cannot be touched or read by others but can only be observed through actions like those of soccer stars and actors. Explicit knowledge is knowledge possessed by others that is further processed into training manuals or computer programs to teach others or to be used by others in performing their duties.

Knowledge is defined in the Oxford Dictionary (1999: 183) as the body of facts accumulated over a period of time. The researcher identifies knowledge as what one knows that can be attributed to learning and experience. Appropriate knowledge to organisational tasks possessed by employees within an organisation is a building block to success. SAMHS commanders with performance management knowledge will drive this organisation to heightened levels of prosperity.

3.11 Conclusion

Performance management and the measurement of performance have increasingly become an issue in the South African public service. Citizens and all levels are calling for service delivery and value for money. Directors, managers and commanders in all public sector entities are required to produce results and reports on what they are producing. Managers in all three spheres of government and all governmental departments are faced with the challenge of rendering services in an economic, effective and efficient way and to develop members working in these environments.

Guidelines are developed and policies promulgated to ensure that governmental organisations keep and maintain promises made to South African citizens; but without empowering governance and mandates, these prescripts become worthless. Leaders in the public sector must be knowledgeable and skilled in the functions and roles expected to be fulfilled. Organisations should on a continuous basis ensure that their employees are on the right track with regard to what is expected of them.

South Africa is a dynamic country that is constantly changing and updating itself according to international standards. Every organisation including the **SANDF**, and mainly members in leadership positions should, at all times, keep abreast with what is happening around them with regard to new trends and knowledge in order to guide their followers. Needs-based training should be part of organisations in order to keep employees on par with developments in this dynamic country and for continuous improvement.

In the following chapter, the research methodology and design of the study will be discussed in detail. The research process and DOD protocols for research conducted in this organisation will also be detailed.

CHAPTER 4

Research Design and Methodology

4.1 Introduction

The purpose of this chapter is to broadly outline the design and methodology of the study. The study aimed at identifying the performance management training needs of the commanders within the SANDF (SAMHS) and also to determine whether a performance management-related training programme is necessary to address identified needs. Research design and methodology are described and explained differently by authors. Although these concepts are described and explained by different authors from different schools of thought, interestingly enough, all come to the same conclusion of saying research design and methodology is the plan for carrying out a research study.

In this chapter, views of different authors about what research design and methodology is are discussed. Some repetition is due to a brief explanation of the research design and methodology for the study having been explained in the first chapter of this thesis. It should also be noted at this stage, that the researcher experienced a challenge in differentiating between research design and methodology, as these two aspects in a research process are overlapping and interrelated. According to the researcher the two central questions related to research design and research methodology is the "what" and "how".

Therefore, the "what" in the research process is nothing else but the identified problem to be studied which will entail the architecture or the design of the study? The “how” in the research process simply means the steps or methodology to be followed in addressing the problem under study?

As mentioned previously, Mouton (2008:49-57) describes research design and methodology as the explanation/plan/map of the researcher about the type of study envisaged to answer the problem at hand (the research design), and how the researcher will go about conducting the planned study (the research methodology).

This map includes aspects such as the formulation of the problem to be investigated, the design to be followed for the study, which will mainly be guided by the study problem and includes aspects such as the logical arrangement of the study in order to answer the research question or to determine causality between variables, which will include how the research data will be collected, processed and analysed. Furthermore, this map will also cover the interpretation of the study findings and ultimately the compilation of the research report. A discussion of different authors' viewpoints on what research design and methodology is follows below and the research design and methodology for the study at hand are outlined.

4.2 What is Research Design and Research Methodology?

Fox *et al.* (1997: 296-304), described research design and methodology as the researcher's identification of the crucial aspects relevant to the intended study, such as, the type of research that the researcher intends to conduct, i.e. what research is to be conducted (whether pure or applied); what the presenting problem is (problem statement, either as a question or hypothesis); screening and selection of appropriate approach and techniques for the intended study; the study data to be gathered; analysis and interpretation of gathered study data including the stipulation of the study findings.

Rubin and Babbie (1997: 92-97) describe research design and methodology as the researcher's decision regarding how the intended study will be conducted (research design), and the logical steps to be followed in an attempt to answer the identified problem (research methodology). As stated earlier, as there is an overlap between research design and methodology, the researcher is of the opinion that research methodology also includes the design of research.

The above authors state aspects of the research process/methodology as being problem formulation, research design, and data collection, processing, and analysis of collected data, as well as interpretation of the findings and lastly, research report compilation. Some authors define the two concepts explicitly with clear boundaries but still, according to the researcher, overlapping and cross pollination is unavoidable

when dealing with these two concepts. The researcher therefore prefers not to overemphasise the applicable boundaries but to state what is intended by the study.

4.2.1 Research Design

Ghauri and Gronhaug (2005:56) defined research design as "the overall plan for relating the conceptual problem to relevant, practicable, empirical research"., These authors furthermore explain that, in the design of research, the type of research (whether the researcher would like to explore, describe or determine a causal relationship), the plan regarding what data should be collected for the study (identification of the unit of analysis and the mode to be used to collect research data) and how the data collected for the study will be analysed, will be revealed. Research design is the framework determined by the problem at hand, and provides guidelines about what the problem really is and what measures must be followed that will help in reaching a solution to the identified problem.

The researcher planned to gain more insight and identify training needs related to performance management amongst commanders in the SAMHS, with the aim of later compiling a training programme for them. The research design adopted by the researcher was exploratory in nature as very little is known in the SAMHS about the study problem. According to Mouton and Marais (as cited in Fouche & De Vos, 2002: 124), an exploratory study mainly aims to explore a research area that is relatively unknown which is exactly the intention of this particular study. Rubin and Babbie (1997: 108) explained exploratory research as aiming to provide initial understanding of an identified problem, where little is known or where new ideas to address the problem need to be identified.

The research design was aimed at gaining new knowledge about performance management, identifying whether commanders within the SAMHS possessed the necessary knowledge and skills for performance management, and, if not, what kind of training programme would be required for them to address the identified need. The exploratory research design therefore was the applicable design for the study.

According to Ghauri and Gronhaug (2005: 58), a researcher who embarks to explore a phenomenon in a study, will "observe, gather information about what has been observed and construct an explanation about what has been observed".

In this study, the researcher observed the commanders within the SAMHS during internal audit engagements, specifically when performance management audit interviews were conducted, and the responses of commanders on this specific audit topic (Performance Management). These observations were mainly made by the researcher when auditing performance management according to the adopted model in the SAMHS, which is the SAEF Model.

There were SAMHS commanders who expressed concerns about the SAEF Model as a measure by which their performance was measured during performance management audit interviews; they stated that they were not trained in this model, and some expressed challenges in implementing this model. They also viewed the SAEF Model as more relevant for business-orientated entities and not the SAMHS.

The other observation by the researcher was through the SAEF Model's self-assessment report submitted to the SAMHS Inspectorate (SAMHS internal audit directorate) prior to the actual audit engagement with the military health units (SAMHS units). The SAEF Model self-assessment reports submitted were in some instances incomplete as it did not cover all criteria stated in the model. There were also military health units that opted not to submit the SAEF Model self-assessment reports to the SAMHS Inspectorate prior to an audit engagement with their unit as required.

As part of exploring the phenomenon under study, the researcher consulted a variety of literature about performance management and engaged SAMHS commanders through discussions, both formally (during internal audit engagements) and informally. The researcher also discussed the intention of taking the identified problem to the next level of an empirical study with most of the SAMHS commanders and there was overwhelming support from these commanders.

After all consultations with various sources in an attempt to find a fit with the design and methodology of the intended study, the researcher designed a data gathering instrument (questionnaire) made up of both open- and closed-ended questions to gather the necessary information.

Research design and methodology is viewed by the researcher as a process that entails the following aspects:

- The researcher's conscious identification and formal formulation/identification of the problem to be researched.
- The researcher's identification of central concepts used in the study and the meaning of those concepts in relation to the study.
- The data sources for the study.
- Ways to analyse and interpret data collected for the study.

4.2.2 Research Design: What is the research problem?

A research problem can be expressed as a statement or as a question. According to Welman and Kruger (2001: 12), defining a research problem means narrowing down the experienced problem, to ensure that it becomes researchable. The formal problem statement for the intended study was "There is a gap for a Performance Management Training amongst the SAMHS Commanders". Stated as a hypothesis, the same problem can be phrased as "Training SAMHS Commanders in performance management can enhance their effectiveness in managing performance". The very same problem can also be posed as a question which will be formulated as "What are the performance management training needs of Commanders within SAMHS"?

In the problem statement, the unit of analysis, the research objects and their category are explicitly stated. In this study, SAMHS commanders, training needs and performance management are central to the study. In the statement of the study problem the researcher ensured that the problem is scaled down to address a certain group of employees within the SAMHS and not all members of this organisation.

The researcher chose to formulate the research problem as a statement (qualitative research design), mainly as no formal scientific study has been conducted to determine whether employees vested with this responsibility can optimally fulfil the responsibility and are fully empowered. In a situation that experiences a problem, it is always crucial to identify a manner/way in which to address the problem correctly. The researcher therefore chose to formulate the problem in the form of the above statement.

On the other hand, the researcher who decides to undertake a study in a quantitative way will use hypothetical statements to determine causal effects between variables, and the emphasis in this design will be on using standard statistics, counting of numbers and describing. In a study that also verifies a causal effect between the variables, a quantitative design will use questions and statements such as “Performance Management training will result in knowledge gain”, and an expected answer will either be "Yes" or "No"; or "What is your knowledge base using the rank order answers of excellent, good, average, poor and very poor"?

This type of stated statement (quantitative research design) determines the causal effect between two variables, namely the dependent variable (SAMHS Commanders) and independent variable (Performance Management Training).

Furthermore, the data gathering instrument (questionnaire) used to gather the information was designed/formulated in a manner that would assist the researcher in arriving at a total number of SAMHS commanders who were empowered/not empowered and their knowledge base regarding performance management as one of their crucial role and responsibility to fulfil.

With the formulation of the study problem, the researcher also addresses aspects such as the aim and objectives of the study. The aim and objectives of the present study was to determine whether the commanders in the SAMHS need to be trained in performance management.

The objectives of the study were categorised as to gain more knowledge of the phenomenon to be studied through reading and interrogation of available information (consultation of literature); to engage the objects of the study by gathering data from them, in an attempt to confirm or negate the problem identified by the researcher; to process the collected data, in order to come to a better understanding of the study problem; and to arrive at deductions/conclusions about the collected data, to make it available to the study objects and the organisation, in order to make decisions as to how the problem could be addressed.

4.2.3 Research Design: What are the central concepts in the study?

The meaning of the central concepts used in the formulation of the research problem needs to be clearly defined, in order to avoid confusion or misinterpretation. According to De Vos (1998: 110), conceptualisation and operationalisation in the research process means that applicable theories and explanations relevant to the study problem are to be clarified to ensure that they mean what the researcher intends with these concepts and theories used for the study.

Performance management, commander and SAMHS, are viewed by the researcher. These central concepts for the study are discussed in Chapters 2 and 3 (overview of SAMHS and the literature review) together with other concepts such as needs assessment, training and different training methods and other performance management-related concepts.

The research design, in conclusion, addresses and answers the "what" question in the study/research.

4.3 Research Methodology

Ghauri and Gronhaug (2005: 56) described research methods as the techniques used to collect data. Research methodology comprises the method and steps that are followed chronologically in pursuit of the study, also known as the research process. The research process is described by Mouton (2008: 137-142) as taking place in three frameworks, namely Worlds 1, 2 and 3.

World 1 is described as "world of everyday life and lay knowledge"; World 2 is referred to as "the world of scientific research and science"; and thirdly, World 3 is also known as the "world of meta-science".

The worlds of science/scientific research and that of everyday life/lay knowledge are the worlds or frameworks that were followed as applicable to the study. This simply involved how the researcher acquired research data, namely through everyday experience in the researcher's work environment (internal audits and findings in the reports) and through the empirical study that was conducted.

According Rubin and Babbie (1997: 94-97), the research process is not as sequential as depicted by most authors, but they agree that the steps followed in research start with a beginning up to an end, in which there might be forward and backward movements in the beginning phase of the research exercise. This was confirmed as it was experienced by the researcher and delayed the research process and progress drastically. The research process as identified by Rubin and Babbie starts with a research problem and ends with a research report.

The researcher's methodology as followed for this study can be sketched as follows:

- Formalisation of the research idea to a researchable statement through consultation with literature and experts in the subject field, which included the construction of the research data gathering instrument (questionnaire).
- Observation of protocol in the SANDF (SAMHS) entailed negotiations with relevant authorities to secure permission and authority to conduct the study (appendices to this effect are attached).
- Negotiation with the research population/sample to participate in the study once approval was granted (an appendix to this effect is attached).
- Delivery of the research questionnaire to the research population/sample, which took place during internal audit engagements or via internal communication measures (Lotus Notes) including delivery to the research participants who were not scheduled for internal audits.
- Collection of the research questionnaires by the researcher from the participants after completion. Some participants delivered completed

questionnaires to the researcher's office or sent them back via the internal communication method in use.

- Collected research data received was analysed, interpreted, and recommendations formulated by the researcher.

4.3.1 Research Methodology (population and sample)

The identification of the research population and eventually the sample to be used in research is a crucial step in research. A population, according to Ghauri and Gronhaug (2005: 145), consists of the research elements from which research information is collected. Welman and Kruger (2001: 52) described a population as the total collection of all units of analysis about which the researcher wishes to make specific conclusions.

According to Strydom and Venter (2002: 199), a sample is the element of the population considered for actual inclusion in the study. The sample of a study also determines whether it is representative and the findings can be generalised. In this study, the total population (SAMHS Commanders) was considered for participation initially, and no sample was drawn. Most of the commanders within SAMHS who were available during the period of the empirical study were approached and requested to participate in the study and most of them voluntarily agreed to participate in the study, therefore the results of the study can be generalised in the SAMHS Division across all levels.

Approximately 45 commanders constituted the population (men and women) of the study and, as stated earlier, most of them consented to participate in the study. Some SAMHS commanders could not be reached, however, due to other military obligations such as courses or deployments. Twenty-five questionnaires were distributed to the study population excluding the five used for the pilot test. Twenty-three completed questionnaires out of the 25 dispatched to the participants were returned. Efforts to get the last two questionnaires back from the participants were futile.

4.3.2 Literature review

The literature review updates the researcher's knowledge on the subject under study. A literature review, according to De Vos (1998: 64-68), is conducted in order to determine whether any studies similar to the intended study had been conducted, to consider the findings of such studies and to explore the possibility of expanding on issues that may be identified and avoid mistakes that may have occurred.

Literature review is the first step in research that the researcher will embark on with the aim to set clear boundaries for the study, identify and refine the research problem, identify ways and means to address the study problem. The literature review also guides the researcher with identifying appropriate processes, techniques and strategies to employ in the intended study.

Literature consulted for the study was mainly management related, with special emphasis on performance management. The researcher made use of resources (mainly books) provided by the University of Stellenbosch library; journal articles accessed through the internet, SANDF (SAMHS) internal policies and prescripts as well as government legislation through colleagues in the SANDF and other government departments. The National Research Foundation in Pretoria was also consulted to determine if there were any studies addressing similar topics had been conducted.

4.3.3 Consultation with Experts

According to Strydom (as cited in De Vos, 1998: 180), literature in publications such as books and other written material contribute a lot to research, but experts in the field of study also possess valuable information that can be used to shape the study. Experts consulted by the researcher included colleagues in management positions in the SANDF and friends in other government departments dealing with research.

4.3.4 Feasibility of the Study

Feasibility of the study, according to White (2004: 51), is associated with a specific question or statement about the intended study demands on time and allocation of resources. The study was deemed feasible and researchable for the following reasons:

- The study population used as the sample is employed within the same organisation as the researcher, and was easily accessible to the researcher.
- Internal communication measures in place, like Lotus Notes (internal mode of communication that functions like the internet) and tie-line (SANDF internal telephone connection throughout the RSA without incurring expenses) were used to forward questionnaires and communicate with participants in other provinces.
- Completed questionnaires were returned to the researcher through the internal communication (Lotus Notes) via the internal mail system and some were collected from the participants by the researcher.
- Literature was easily accessible at the researcher's workplace through libraries, electronic searches and internal audit reports.

4.3.5 Research Methodology (Pilot study/Pilot Test)

According to Strydom (cited in De Vos, 1998: 178), a pilot study comprises the researcher's orientation to the important aspects of the intended study and provides guidelines to the overall approach, strategies and process. Aspects of the pilot study include the review of literature appropriate to the study, consulting individuals that are knowledgeable concerning the subject of the study, testing whether conducting the study is feasible and pre-testing the instrument to be used in gathering research data. Emphasis here is on pilot testing of the data gathering instrument (the research questionnaire).

Mouton (2008: 102-103) explains the pilot test mainly with regard to questionnaire testing and emphasises that this determines the validity and reliability of the used instrument. Mouton also states that pilot testing the questionnaire enables the researcher to deal with and avoid errors that may occur due to problems such as

ambiguous or vague items, double-barrelled questions, fictitious constructs or leading questions in the questionnaire.

Pre-testing of the measuring instrument or tool to be used in a study on a number of persons/elements having similar characteristics to the target group is described as pilot testing by Singleton (cited in De Vos, Strydom, Fouche, & Delport, 2002: 221). A pilot test of the data collection instrument was done with six commanders in the SAMHS after permission to conduct the study was granted by the Defence Intelligence Division and an indication by the supervisor that the data collection instrument was acceptable. Information gathered from commanders used for pilot testing the instrument was not used for the empirical study. The commanders used for the pilot test did not experience any problems with completing the questionnaire.

4.3.6 Research Ethical Aspects

In a discipline, guiding principles on the conduct of people and acceptance of those guidelines is known as Ethics. Research like any discipline has its own ethical guidelines or ethical principles. Strydom (1998: 25) describes research ethics as a set of moral principles which is suggested by an individual or group and is subsequently widely accepted, which offers rules and behavioural expectations about the most correct conduct towards experimental subjects and respondents, employers, sponsors, other researchers, assistants and students. The following ethical issues were identified as applicable to this study.

Informed consent: The researcher requested participants to complete a consent form as a token that they voluntarily participated in the study without any coercion. Permission to undertake the study in the SANDF (SAMHS) was also granted to the researcher by both the IG SAMHS and the Defence Intelligence Division (Addendums A and B to this effect are attached).

Confidentiality: All research questionnaires were treated with anonymity and confidentiality, and only the researcher handled the questionnaires. An informed consent form was attached to the questionnaire handed to the participants, which covered all ethical aspects.

Release and Publication of Findings: The findings of the research need to be published as a token of letting the respondents and the organisation know about its functioning. According to Strydom (1998: 32), findings of research must be made known through publication in writing, otherwise highly scientific investigations will have no meaning and will not be viewed as research. The findings from this study will firstly be released to the Defence Intelligence Division of the SANDF in compliance with defence regulations. Furthermore, the findings of this study will also be published to the participants once the university declares that the report meets all the required academic standards.

4.4 Conclusion

The research design and methodology are the architecture and steps for a research exercise. These are guided by the problem at hand and the desired end result of the study or what is envisaged by the study. Research design and the methodology thereof are also shaped by the research problem and path; hence, the researcher would like to follow up by answering or addressing the problem at hand. The researcher who wants to gather more information about an unknown phenomenon will plan the study in a manner that will allow for exploration of the unknown, whilst the researcher who wants to see whether a project or service achieves what it was intended for, will evaluate the effectiveness of such project or service.

Research design and research methodology shape a research study in the sense that it guides the direction in which the study should go, based on the problem at hand. Research design and methodology also determine the type of research to be undertaken, whether it will be knowledge generating or research assist in addressing an existing problem. The researcher needs to be conscious and aware of the required design and methods appropriate to address the problem at hand for the successful undertaking of the research. Chapter 5 presents the empirical study, the findings thereof and the interpretation of the findings.

CHAPTER 5

Empirical Study

5.1 Introduction

This study was conducted to ascertain whether SAMHS commanders need to undergo performance management training and to determine the type of training desired, with the view to give input and advice regarding the appropriate programme to be designed. Prior to the actual empirical study, a pilot test was conducted with five SAMHS commanders using the questionnaire constructed to determine the validity and reliability of the instrument. Inputs received confirmed the validity and reliability of the said questionnaire as the sample population for the pilot study did not experience any challenges in completing the questionnaire.

A total of 25 questionnaires were distributed to commanders in the SAMHS, but only 23 were returned to the researcher. Although 25 SAMHS commanders initially consented to participate in the study (informed consent form is attached as an appendix to the report), the two who did not return their questionnaires could not be reached, despite numerous attempts by the researcher to get the questionnaires back. The unreturned questionnaires did have an effect on the study, as a generalisation of findings could still be made based on the returned questionnaires, which represented 92% of the research sample.

The research questionnaire contained both open- and closed-ended questions, including explanations, as well as a section on suggestions made by the participants. All the research questionnaires received back were fully completed by 22 of the participants. One participant omitted to answer some of the questions. Options to answers that were not chosen by the participants when responding to questions were omitted in the tables when findings were plotted and discussed.

The findings of this study aim to solve a problem that exists amongst the commanders in the SAMHS regarding performance management, which means that the findings of this study should be applied to help address the presented problem, which concerns

the performance management knowledge gap due to a lack of training. Research that is undertaken with the aim of solving problems of immediate concern is defined as applied research, according to Bailey, (1994: 25).

This study was exploratory in nature, in the sense that the researcher wanted to determine the performance management training needs of the commanders in the SAMHS, and the type of training programme they desired, should it be confirmed that they needed training in this regard.

Data collection for the study was both numerical and narrative; thus, both the qualitative and quantitative approaches were employed in this study.

5.2 Research Results and Interpretation of acquired Study Data

The research results are presented according to the sections of the questionnaire in tabular and graphical presentation format. Comparisons are made according to the different sections of the questionnaire. It should be noted that no Major Generals participated in the study, as access to this grouping of commanders were futile, there being only two of this rank in the SAMHS.

Section A: Biographical Data

Military Rank: What military rank do you hold?

Table 5.1: Military Rank

Serial No.	Military Rank	Total number of participants	Percentage
1.	Brigadier General	9	36%
2.	Colonel	12	48%
3.	Other Rank	2	8%
	Total	**23**	**92%**

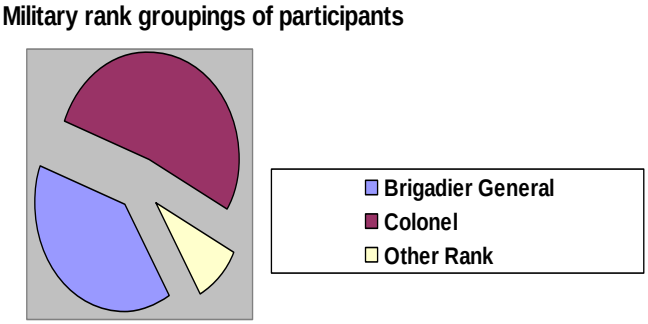

Figure 5.1: Pie Chart showing Military Rank

Table 5.1 and the pie chart (Figure 5.1) indicate the military rank of the SAMHS commanders. There were nine (36%) Brigadier Generals, 12 (48%) Colonels and two (8%) Lieutenant Colonels who participated in the study. The analysis of the information contained in Table 5.1, and Figure 5.1 reveals that slightly more unit commanders than directors participated in the study. The other ranks constituted by Lieutenant Colonels can be said to be employees that were delegated to act on behalf of unit commanders in the respective areas, as there are no Lieutenant Colonels in the SAMHS command council.

Gender: What is your gender?

Table 5.2: Gender

Serial No.	**Gender**	**Total number of participants**	**Percentage**
1.	Male	15	60%
2.	Female	8	32%
	Total	**23**	**92%**

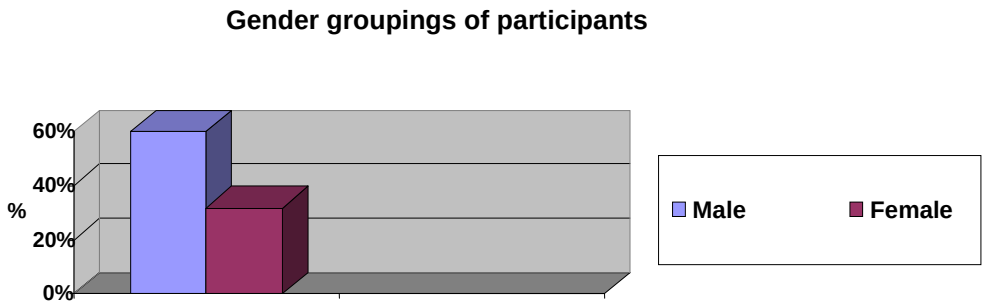

Figure 5.2: Bar Diagram showing Gender

Table 5.2 and the bar diagram (Figure 5.2) indicate the gender of the SAMHS commanders who participated in the study. Eight (32%) female and 15 (60%) male commanders participated in the study. Both the table and the bar diagram indicate that there are more male than female commanders in the SAMHS. Although the researcher did not plan to focus on the gender ratio when choosing the study population, this table clearly indicates that there is a high likelihood that there are more male commanders than female ones. The researcher is of the opinion that the gender ratio would still have been in favour of the male commanders even if the two participants who did not return their questionnaires had returned them.

Highest educational qualification: What is your highest educational qualification?

Table 5.3: Qualifications

Serial No.	Highest educational qualification	Total number of participants	Percentage
1.	Matric	2	8%
2.	Post-Matric Certificate	1	4%
3.	Degree	7	28%
4.	Honours Degree	3	12%
5.	Master's Degree	9	36%
6.	Doctoral Degree	1	4%
	Total	**23**	**92**

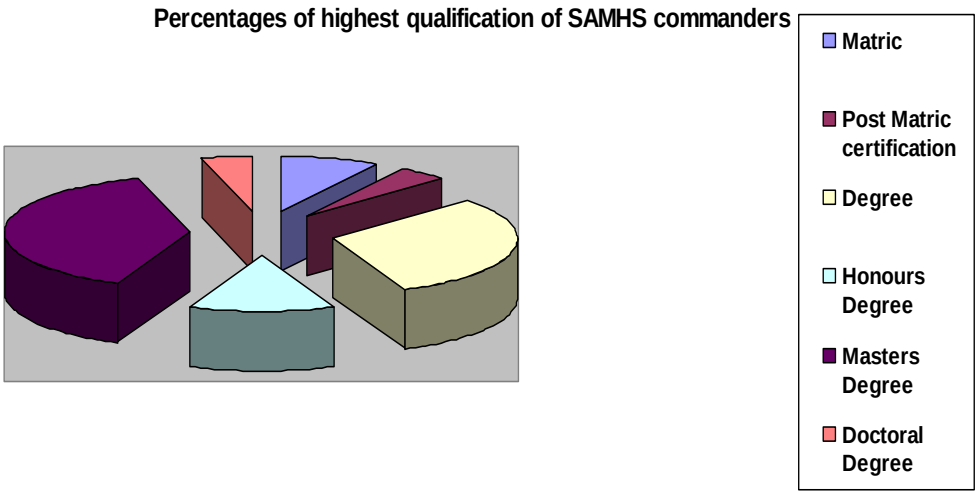

Figure 5.3: Pie chart showing qualifications

Table 5.3 and the pie chart (Figure 5.3) indicate that nine participants (36%) hold a master's degree; three participants (12%) have an honours degree, whilst seven participants (28%) have a degree, whereas two (8%) have a matric certificate and another two members (4% plus another 4%), i.e. one participant, has a doctoral degree and yet another participant has a post-matric certificate, respectively. It is clear that all commanders within SAMHS have a certain level of schooling; therefore, they are able to undergo training and will not experience problems.

The limitation regarding this question is that the researcher did not probe further to try and determine the mustering of the tertiary qualifications possessed by the participants with post-matric qualification. It is the researcher's opinion that, although a number of commanders in the SAMHS hold master's degrees, these may reflect other degree studies and not management-related studies. It was evident that, irrespective of whether employees were qualified in their fields; continuous training is essential for optimal functioning.

Section B: Experience: For how many years have you served as a SAMHS Commander?

Table 5.4: Years of experience

Serial No.	Years of experience as a SAMHS commander	Total number of participants	Percentage
1.	20 years and more	1	4%
2.	15 to 19 years	2	8%
3.	11 to14 years	3	12%
4.	5 to 10 years	7	28%
5.	1 to 4 years	7	28%
6.	Less than one year	3	12%
	Total	**23**	**92%**

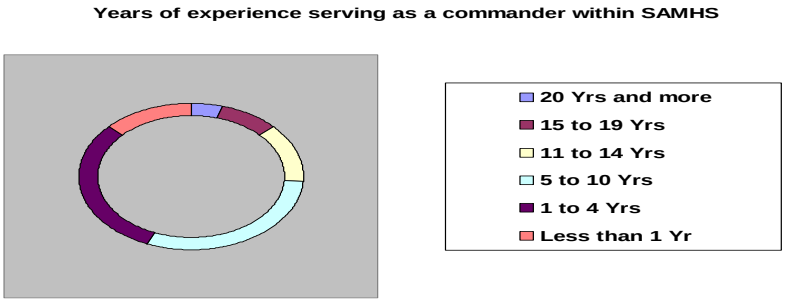

Figure 5.4: Doughnut of years of experience

Table 5.4 and the doughnut (Figure 5.4) indicate the years of experience as a commander in the SAMHS. Seven participants (28%) have been commanders in the SAMHS for a period between of 5 to 10 years. Another seven participants (28%) have been commanders in the SAMHS for 1 to 4 years. Three (12%) participants have been commanders in the SAMHS for periods of between 11 to 14 years and another three (12%) participants have been commanders in the SAMHS for less than a year.

Two participants (8%) indicated that they had been commanders in the SAMHS for 15 to 19 years, whilst only one respondent (4%) indicated the years as a commander in the SAMHS, as 20 years and more.

Section C: Performance Management training received: Have you received any Performance Management-related training as a SAMHS commander?

Table 5.5: Performance Management-related training received

Serial No.	Performance Management related training received	Total number of participants	Percentages
1.	Yes	9	36%
2.	No	14	56%
	Total	**23**	**92%**

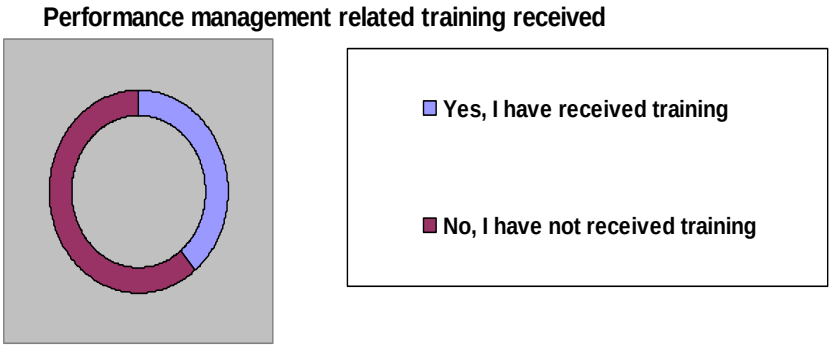

Figure 5.5: Doughnut showing performance management-related training received

Table 5.5 and the doughnut (Figure 5.5) indicate performance management-related training received by SAMHS commanders as follows; nine participants (36%) confirmed that they had received performance management-related training, whereas 14 participants (56%) indicated that they had not received performance management-related training. These figures indicate that the majority of commanders within SAMHS lack training in performance management and that designing, and implementation of a performance management training programme therefore would be essential for the optimal functioning of these leaders.

A limitation regarding the training received question, according to the researcher, might be that the researcher did not probe further to determine when the training was received.

Type of training received: What type of performance management-related training did you receive?

Table 5.6: Type of training received

Serial No.	Type of Performance Management-related training received	Total number of participants	Percentage
1.	A formal training at a venue away from the office within the DOD/SAMHS	2	8%
2.	A formal training at a venue that is outside the DOD/SAMHS	2	8%
3.	On-the-Job Training by my colleagues	6	24%
	Total	**10**	**40%**

Table 5.6 indicates the type of training received by SAMHS commanders who indicated that they had received performance management-related training. The question was meant for those commanders (nine of them) who comprised 36% of the participants who responded positively to the previous question.

There was one participant (4%), however, who indicated that he/she did not receive any performance management-related training, but that he/she received on-the job training by a colleague. Training received by the participants was noted a follows: Two (8%) of the ten participants indicated that performance management training that they received was formal at a venue away from their office, but within the DOD (SAMHS). Six of the participants (24%) received on-the-job training by a colleague/s. This could imply either that there were some members who possessed performance management-related knowledge and who could impart that knowledge to other colleagues.

Two of the participants (8%) received formal performance-related training at a venue away from the office but in the DOD (SAMHS), which implies that there once was formal training that took place internally in the military. The researcher assumes that training received might have been given by colleagues and not accredited institutions; hence, the challenge is still experienced regarding performance management.

Are you currently receiving any performance management-related training?

Table 5.7: Current situation regarding performance management training

Serial No.	Performance Management-related training currently being received	Total number of participants	Percentage
1.	Yes	3	12%
2.	No	20	80%
	Total	**23**	**92%**

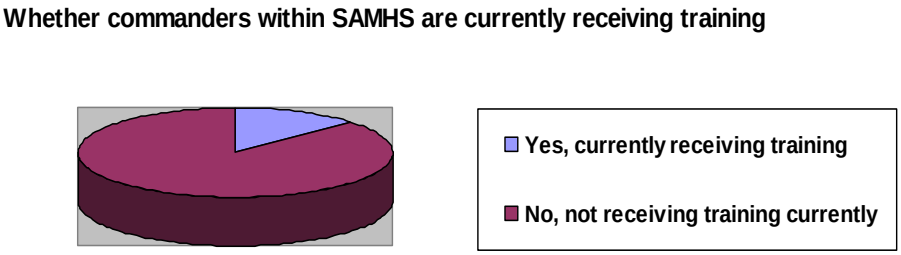

Figure 5.6: Pie chart showing current situation regarding performance management training

Table 5.7 and the pie chart in Figure 5.6 indicate that three (12%) SAMHS commanders are currently receiving performance management training, whilst 20 (80%) are not receiving performance management-related training. The above-mentioned confirms what has already been said earlier about the majority of commanders within the SAMHS not being trained in performance management. This question was a follow-up on the previous question regarding whether SAMHS commanders are currently receiving any performance management-related training or not.

Eleven commanders did not respond to this question. Below are the responses of the commanders who responded; some of their responses are stated verbatim (ver) and some are summarised (sum):

- Currently there is neither formal nor informal performance management training planned. (sum)
- No performance management training, at all, in the SAMHS. (ver)
- The only performance related expectations are based on objectives articulated in the business plan of the unit and responsiveness to the changed agenda. (ver)
- There are no training opportunities beyond the ENSP training. (ver)
- Only a few members in the SAMHS that attended Services Command and Staff training before the joint college was established received formal training in performance management. The curriculum of the new school is unknown. (ver)
- Away for some time due to military obligations. The new performance management road show for individuals/officials who are not in the SMS system is sharing valuable information. (sum)

The summarised comments in some cases are the responses of more than one respondent.

Have you received any form of training in the past that included performance management-related components?

Table 5.8: Performance Management-related training received

Serial No.	Performance management training received in the past and the component thereof	Total number of participants	Percentage
1.	Yes	10	40%
2.	No	13	52%
	Total	**23**	**92%**

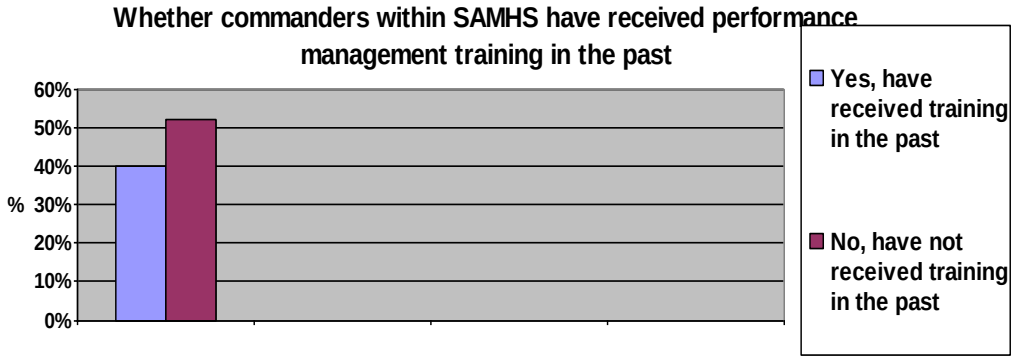

Figure 5.7: Bar diagram showing performance management-related training received

According to Table 5.8 and the bar diagram in Figure 5.7, 13 (52%) of the SAMHS commanders did not receive any performance management-related training in the past, whilst ten (40%) confirmed that they had received performance management training in the past. This figure indicates that a large percentage of the members in the SAMHS command grouping lack training in performance management.

Did management training received in the past also include performance management related components?

This question was a follow-up on the previous question about training received in the past that might have included performance management-related components. This was a follow-up question to be answered only by those commanders who confirmed that they had received performance management training in the past. There was a member who stated (Table 5.8) that he/she had not received performance management training in the past but answered this question. It is possible that the participant did not read the question carefully. Some participants stated a number of sources and not only one source. Below are the responses solicited from the participants who responded to the question:

- Received performance management related training through Senior Management Programme (course presented for military personnel in preparation for higher management posts).
- Received performance management-related training through internal DOD presentations.

- Documents in the form of books were other sources of training.
- The SAEF Model training in the DOD.
- University training.
- Training through Junior Command and Staff Duties course, which is a course presented to military personnel in preparation for the management director post and military promotion to a Colonel post.

Section D: Performance Management Outcomes knowledge base: What is your knowledge base with regard to performance management outcomes?

Table 5.9: Performance Management outcomes knowledge base

Serial No.	Performance management outcomes	Total number of participants	Percentage
1.	Excellent	1	4%
2.	Good	5	20%
3.	Average	14	56%
4.	Poor	3	12%
	Total	**23**	**92%**

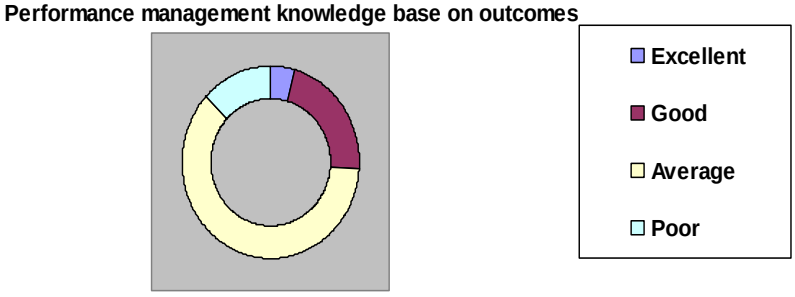

Figure 5.8: Doughnut showing Performance Management outcomes knowledge base

Table 5.9 and the doughnut in Figure 5.8 indicate the performance management knowledge base of commanders in SAMHS as follows:

- About 14 participants (56%) indicated that their performance management knowledge base is average.
- Five participants (20%) indicated that their knowledge base was good.
- Three participants (16%) indicated that their knowledge base was poor.
- Only one participant (4%) indicated that their knowledge base was excellent.

Have you read any policies/guidelines on performance management?

Table 5.10: Performance Management policy/guidelines read

Serial No.	Performance management policies/guidelines read	Total number of participants	Percentage
1.	Yes	18	72%
2.	No	5	20%
	Total	**23**	**92%**

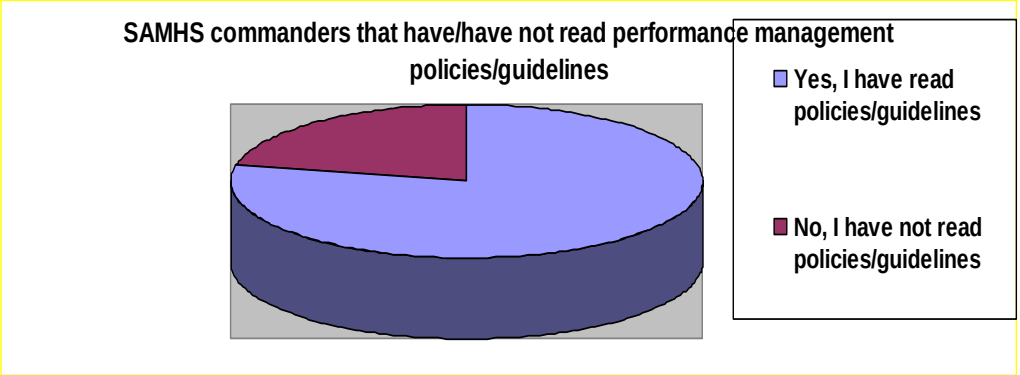

Figure 5.9: Pie chart showing Performance Management policy/guidelines read

Table 5.10 and Figure 5.9 indicate that 18 (72%) of the participants had read performance management policies or guidelines, whilst five (20%) have not read any of the above-mentioned documents on performance management. Although the majority of the participants have not received training on performance management; it is positive that they have read some policies/guidelines on performance management. Reading and receiving training are two different aspects, and it is the researcher's opinion that results and competency can be achieved through training.

What were the policies or guidelines read and the sources thereof?

The participants who indicated that they had read either performance management policies or guidelines mentioned that this comprised internal DOD policies/guidelines on performance management, Human Resources and Logistics and books. There was one participant who did not respond to this question. According to the participants, the information was accessed through both the intranet and the internet, and hard copies circulated internally within the SAMHS, including books available in libraries.

What is your knowledge base on performance management outputs?

Table 5.11: Knowledge base regarding performance management outputs

Serial No.	Performance management outputs	Total number of participants	Percentage
1.	Good	7	28%
2.	Average	14	56%
3.	Poor	2	8%
	Total	**23**	**92%**

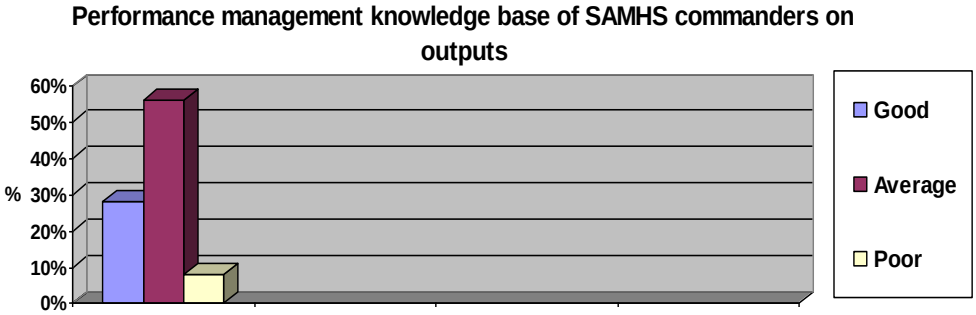

Figure 5.10: Bar diagram showing knowledge base regarding performance management outputs

Table 5.11 and the bar diagram in Figure 5.10 indicate the performance management outputs knowledge base of participants.

About 14 of the participants (56%) indicated their knowledge base regarding performance management outputs as average, whilst seven of them (28%) indicated their performance management outputs knowledge as good, and two participants (8%) stated that their knowledge base regarding performance management was poor.

What is your knowledge base on performance management key activities?

Table 5.12: Knowledge base regarding performance management key activities

Serial No.	Performance management knowledge of key activities	Total number of participants	Percentage
1.	Good	6	24%
2.	Average	14	56%
3.	Poor	3	12%
	Total	**23**	**92%**

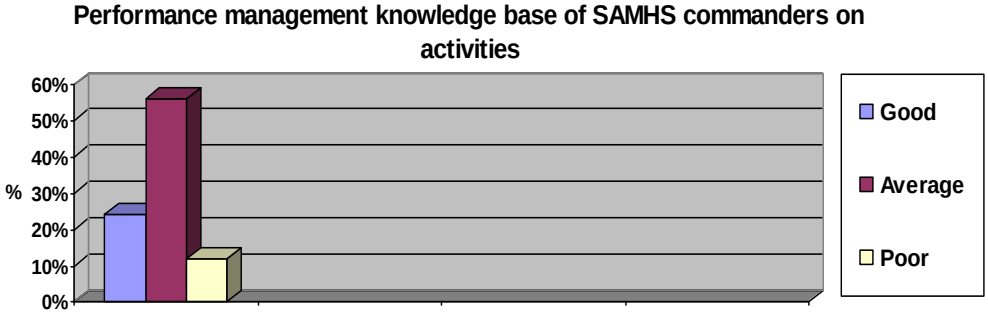

Figure 5.11: Bar diagram showing knowledge base concerning key performance management activities

Table 5.12 and the bar diagram (Figure 5.11) indicate the performance management knowledge base on key activities and below are the responses received from the participants:

- About 14 participants (56%) indicated their knowledge base on performance management key activities as average.

- Six participants (24%) indicated their knowledge base on performance management key activities as good.
- Three participants (12%) indicated their knowledge base on performance management key activities as poor.

It is the researcher's opinion that employees in management posts need to be conversant with the responsibilities that are inherent in their posts, as subordinates are looking up to them as leaders who must guide them. The percentage of participants (24%) who indicated that they have a good knowledge base on performance management key activities is low compared to those who have only an average knowledge base which is 56%.

What is your knowledge base concerning performance management inputs?

Table 5.13: Knowledge base concerning performance management input

Serial No.	Performance management inputs knowledge base	Total number of participants	Percentage
1.	Good	7	28%
2.	Average	15	60%
3.	Poor	1	4%
	Total	**23**	**92%**

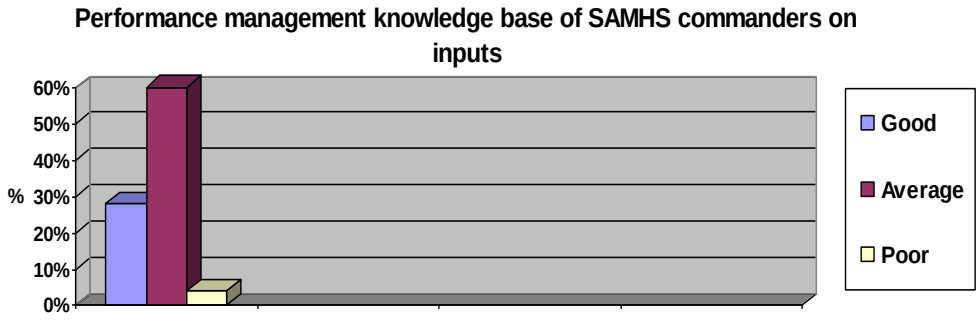

Figure 5.12: Bar diagram showing knowledge base concerning performance management inputs

Table 5.13 and the graph in Figure 5.12 indicate the participants' performance management knowledge base regarding inputs. Some 15 participants (60%) indicated their knowledge base on performance management inputs as average, seven participants (28%) indicated it as good and only one respondent's (4%) inputs knowledge base was indicated as poor.

Compilation of measurable plans/programmes

Table 5.14: Compilation of measurable plans/programmes

Serial No.	Compilation of measurable plans/programmes	Total Number of Participants	Percentage
1.	Yes, Certainly	3	12%
2.	Yes, to a great extent	14	56%
3.	Not Certain	7	28%
	Total	**23**	**92%**

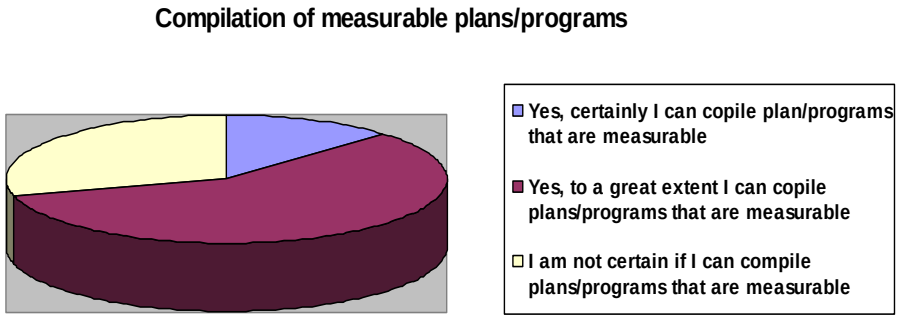

Figure 5.13: Pie chart showing compilation of measurable plans/programmes

Table 5.14 and the pie chart (Figure 5.13) give an indication of the participants' performance management knowledge base regarding compiling plans/programmes that are measurable. At least 13 participants (52%) indicated that they certainly, to a great extent, can compile plans/programmes that are measurable; whilst seven participants' (28%) indication was that they are not certain, and three participants (12%) indicated that they certainly can compile plans/programmes that are measurable.

The fact that only 12% of the participants are certain that they can compile plans or programmes that are measurable is of concern to the researcher. Plans or programmes are maps for organisations, and if leaders in an organisation are not able to draw up plans/programmes that can be measured to record the successes and challenges, this might cause accountability problems in the organisation.

Section E

Opinions on whether performance management-related training will enhance performance

Table 5.15: Performance management-related training will enhance performance

Serial No.	Performance management related training enhancement of performance of participants and your department	Total number of participants	Percentage
1.	Yes	21	84%
2.	No	2	8%
	Total	**23**	**92%**

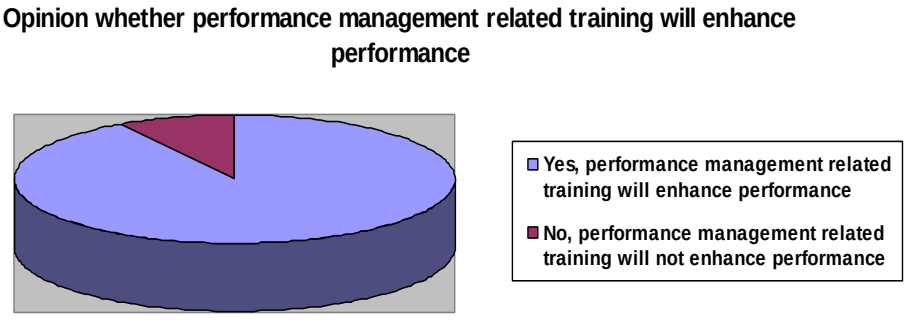

Figure 5.14: Pie Chart showing performance management-related training will enhance performance

Table 5.15 indicates that 21 participants (84%) are of the opinion that performance management training will enhance performance; whilst 2 participants (8%) are of the opinion that training will not enhance performance. It is positive to see that the majority of participants view training as an enhancement to performance and the

researcher therefore is of the opinion that training will be approached with a positive attitude by most of the SAMHS commanders.

Do you as a SAMHS Commander have a need for performance management-related training?

Table 5.16: Need for performance management-related training

Serial No.	A need for performance management related training	Total number of participants	Percentage
1.	Yes, Certainly	15	60%
2.	Yes, to a great extent	4	16%
3.	Not Certain	1	4%
4.	Yes, but to a very less extent	2	8%
5.	Certainly, not at all	1	4%
	Total	**23**	**92%**

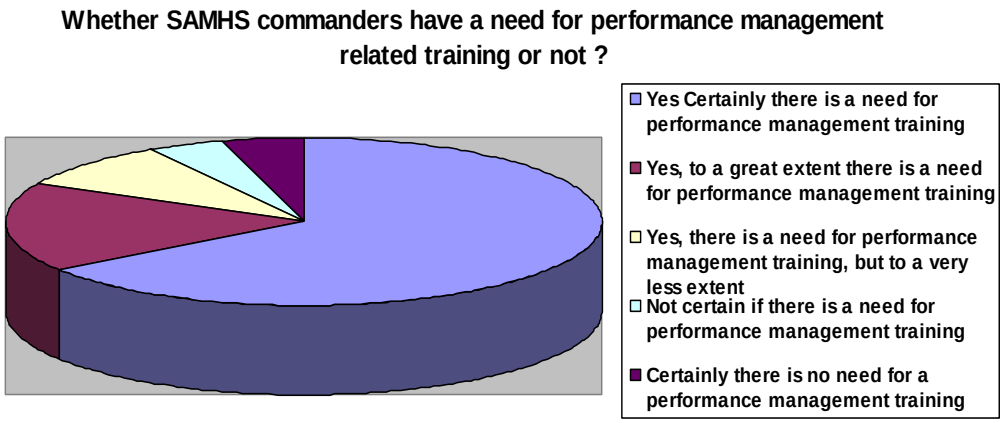

Figure 5.15: Pie Chart showing need for performance management-related training

Table 5.16 and the pie chart (Figure 5.15) indicate the participants' need for performance management training. About 15 participants (60%) indicated that they certainly needed performance management training; four participants' (16%) indication was that, to a great extent, they needed performance management training and two participants (8%) indicated that, although they needed performance management training, they felt the need was to much lesser extent.

There was one participant (4%) who indicated uncertainty about whether he/she would like to undergo performance management training. Another participant (4%) indicated that he/she does not require performance management training at all. The indication by the majority of participants (those that indicated that certainly and certainly to a great extent, which is 66% of the total number of participants) clearly shows that the participants are yearning to learn about performance management.

Who should conduct performance management training?

Table 5.17: Who should conduct performance management training?

Serial No.	Who should conduct performance management training?	Total number of participants	Percentage
1.	A colleague within the SANDF who is competent in performance management	5	20%
2.	Training institutions within the SANDF	7	28%
3.	Tertiary institution	9	36%
4.	Other colleagues in the public sector	1	4%
	Total	**22**	**88%**

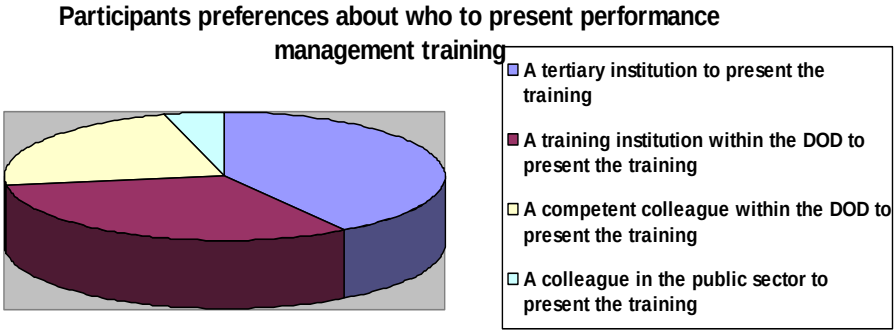

Figure 5.16: Pie chart showing who should conduct performance management training

Table 5.17 and the pie chart (Figure 5.16) indicate the preference regarding who is to conduct performance management training. There was one participant (4%) who did not answer this question. The following are the preferences indicated by the participants:

- Nine participants (36%) indicated that they preferred a tertiary institution to conduct the performance management training.
- Seven participants (28%) indicated that they preferred a training institution within the DOD to conduct performance management training.
- Five participants (20%) indicated that they preferred a colleague within the DOD who is competent in performance management to conduct training.
- One participant (4%) indicated that they preferred a colleague in the public sector to conduct performance management training.

How should performance management training be presented?

Table 5.18: The frequency of providing performance management training

Serial No.	How frequently should performance management training be presented?	Total number of participants	Percentage
1.	Once in a month	1	4%
2.	Once in 2 months	2	8%
3.	Quarterly	3	12%
4.	Twice a year	16	64%
	Total	**22**	**88%**

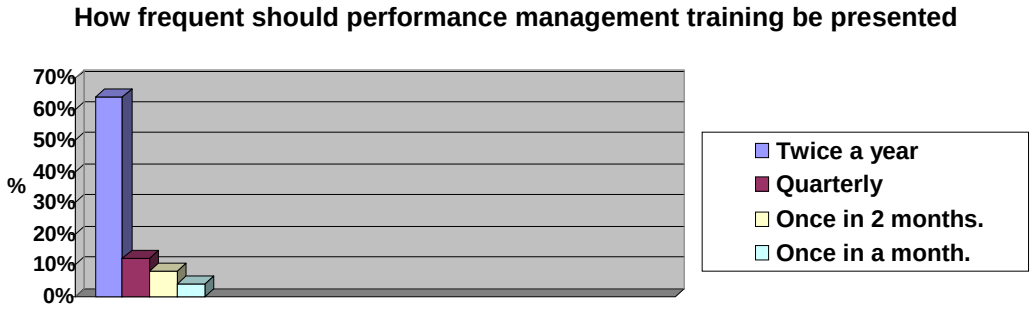

Figure 5.17: Bar diagram showing the frequency of providing performance management training

According to Table 5.18 and the bar graph in Figure 5.17, 16 participants (64%) indicated that they preferred performance management training being presented twice a year; whilst three participants (12%) stated that they preferred performance management training to be presented quarterly; whereas two participants (8%) preferred once, every two months; and one participant (4%) preferred performance management training being done monthly.

There was one participant who did not answer this question. This result indicates that participants are keen to receive training, but they have preferences as to how training should be carried out for various reasons known to them. What is crucial is that they are willing to undergo training.

Performance management areas that are problematic.

Table 5.19: Performance management areas that are problematic

Serial No.	Performance management areas that are problematic	Total number of participants	Percentage
1.	Performance impacts	5	20%
2.	Performance outcomes	2	8%
3.	Performance outputs	2	8%
4.	Performance activities	2	8%
5.	Performance inputs	2	8%
6.	All five areas of performance management	3	12%
7.	Four of the five areas of performance management	2	8%
8.	Three of the five areas of performance management	2	8%
9.	Two of the five areas of performance management	2	8%
	Total	**22**	**88%**

Table 5.19 indicates that five participants (20%) indicated that they experience problems in performance impacts, three participants (12%) indicated that they experience problems in all five performance management areas stated, namely performance impacts, outcomes, outputs and activities, as well as inputs. There were two participants (8% X 4) per performance management areas outcomes, outputs and activities as well as inputs who indicated that they experienced problems.

Another two participants (8%) indicated that they experience problems in both performance management impacts and activities. Yet another two participants (8%) indicated that they experience problems in performance management outcomes, inputs and outputs. The final two participants (8%) indicated that they each have a challenge in performance management impacts, outputs and activities, as well as in inputs. Although one participant did not answer the question, this clearly indicates that there undoubtedly is a knowledge gap regarding performance management training.

Other performance management training-related needs have to be considered in a training programme that is designed or presented. Not all options as identified in the questionnaire were included in Table 5.21 (below) as the respondents did not identify them as important. These included some of the following aspects:

- Compilation of a Business Plan/Programme that will enable me to measure results.
- Compilation of Performance Agreements that will enable me to measure results.
- Compilation of a Duty Sheet that will enable me to measure results.
- Compilation of a Budget that will enable me to measure results.
- How to formulate Performance Standards.
- How to formulate Performance Indicators.
- How to formulate Performance Targets.

Other performance management-related training needs to be considered in a training programme for SAMHS Commanders

Table 5.20: Other performance management-related training needs to be considered in a training programme for SAMHS Commanders

Serial No	Other performance management related training needs to be considered in a performance management training programme	Total number of participants	Percentage
1.	Compilation of business plan/programme that will enable me to measure results	1	4%
2.	Compilation of performance agreements that will enable me to measure results	2	8%
3.	How to formulate performance indicators	2	8%
4.	All the 7 above-mentioned areas in the questionnaire	4	16%
5.	Five of the above-mentioned areas in the questionnaire	5	20%
6.	Four of the above-mentioned areas in the questionnaire	2	8%
7.	Three of the five performance management areas	4	16%
8.	Two of the five performance management areas	2	8%
	Total	**22**	**88%**

Table 5.20 indicates the preferred areas to be covered in a performance management training programme. There was a member who did not respond to this question. The under-mentioned are responses solicited from participants who responded to the question:

- Five participants (20%) indicated that they would like five out of the seven areas stated in the questionnaire and in the last paragraph just before Table 5.21 to be included in a performance management training programme.
- Four participants (16%) indicated all areas as stated in the questionnaire and the last paragraph just before Table 5.21 should be covered in a performance management training programme.
- Four participants (16%) indicated that three of the seven areas as stated in the questionnaire and the last paragraph just before Table 5.21 should be included in a performance management training programme.
- There were two participants (8%) who indicated that two of the seven areas as stated in the questionnaire and the last paragraph just before Table 5.21 should be included in a performance management training programme.
- Two other participants (8%) indicated that four of the seven areas as indicated in the questionnaire and the last paragraph just before Table 5.21 should be included in a performance management training programme
- There were two participants (8%) who indicated that they would like "how to compile performance indicators" to be included in a performance management training programme.
- Another two participants (8%) indicated that they would like a training programme in performance management to include "compilation of performance agreements that will enable him/her to measure results".
- Only one participant (4%) indicated that he/she would like the performance management training course to include compilation of a business plan/programme that will enable him/her to measure results.

It is evident that most participants would like to receive training in one or more aspects regarding performance management. With this question, the researcher identified a loophole in the data-gathering instrument, in the sense that it did not give the option for a combination of choices, hence the researcher had to extend the table with additional choices that were not initially included in the questionnaire.

Would you like to be consulted when performance management training programme is designed for SAMHS commanders?

Table 5.21: Consultation in designing performance management programme for SAMHS Commanders

Serial No.	Should you be consulted when a performance management training programme for SAMHS commanders is designed	Total number of participants	Percentage
1.	Yes	18	72%
2.	No	5	20%
	Total	**23**	**92%**

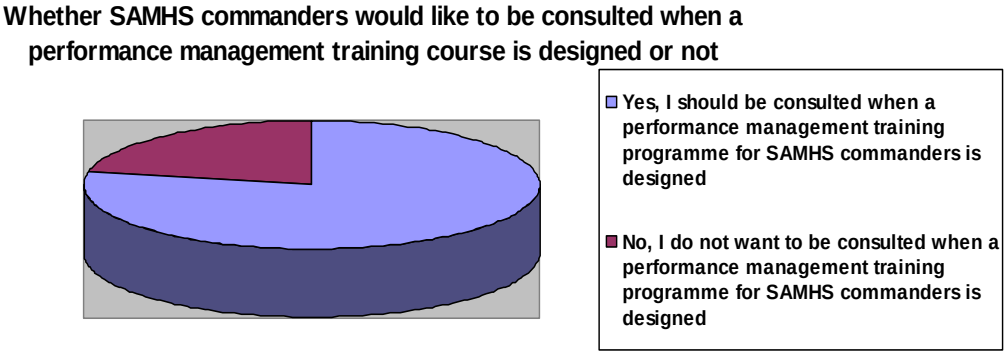

Figure 5.18: Pie chart concerning consultation in designing performance management programme for SAMHS Commanders

Table 5.21 and the pie chart (Figure 5.18) indicate that 18 participants (72%) would like to be consulted when a performance management training programme is designed, whilst five participants (20 %) do not want to be consulted. The majority of the participants were willing to take part and be consulted during the design phase of the training programme in order to add to the inputs of this study that might prevail to them after this study.

Do you think training will increase your knowledge base?

Table 5.22: Training will increase knowledge base

Serial No.	Training will increase knowledge base	Total number of participants	Percentage
1.	Yes	22	88%
2.	No	1	4%
	Total	**23**	**92%**

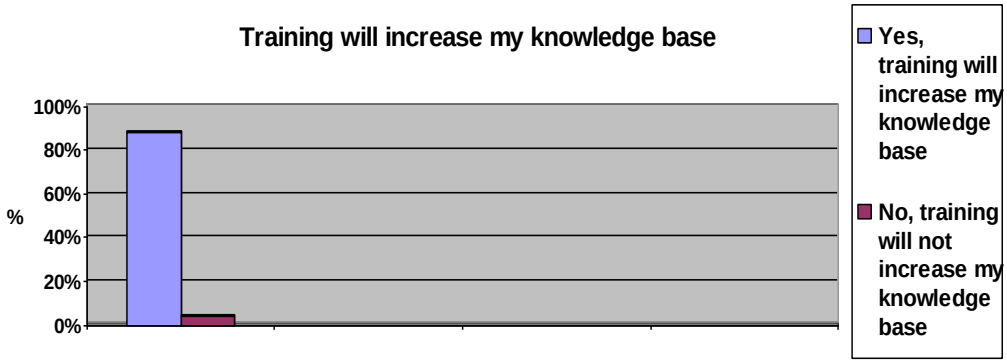

Figure 5.19: **Bar diagram concerning training increasing knowledge base**

Table 5.22 and the bar diagram in Figure 5.19 indicate that 22 participants (88%) agree that performance management training will increase their knowledge base, whilst only one participant (4%) does not agree that performance management training will increase his/her knowledge base. This is a reinforcement of the responses of the participants throughout the study, indicating that a need exists for a performance management training programme for commanders within SAMHS.

Do you think training will increase your chances of success?

Table 5.23: Training will increase the chances of success

Serial No.	Training will increase chances of success	Total number of participants	Percentage
1.	Yes	22	88%
2.	No	1	4%
	Total	**23**	**92%**

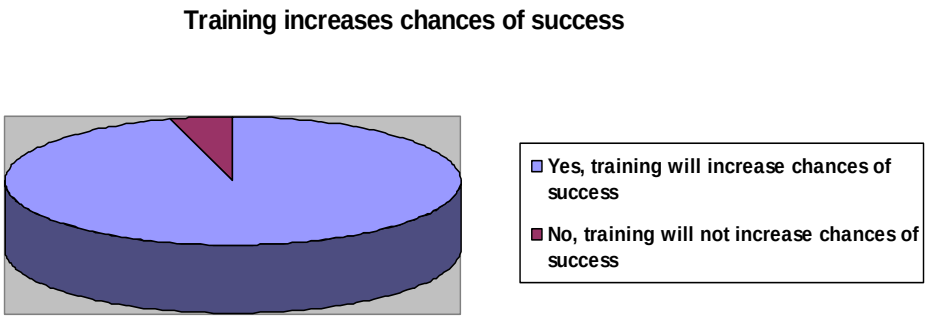

Figure 5.20: Pie chart concerning training increasing the chances of success

Table 5.23 and Figure 5.20 indicate that 22 participants (88%) agree that performance management training will increase their chances to succeed, and only one participant (4%) does not agree that training will increase their chances to succeed. The participants are positive about training and their responses clearly indicated their eagerness towards training.

Do you think that you will gain skills with training?

Table 5.24: Skills will be gained through training

Serial No.	With training, I will gain more skills	Total number of participants	Percentage
1.	Yes	22	88%
2.	No	1	4%
	Total	**23**	**92%**

Table 5.24 indicates that 88% (22 participants) agreed that they will gain more skills with performance management training whereas only one participant (4%) did not agree that more skills would be gained with performance management training.

This indicates that the majority of participants are positive towards training, and it is the researcher's opinion that performance management-related training and a programme to that effect should be considered as a matter of urgency.

Suggestions by participants on what is to be taken into consideration about performance management in the SAMHS follow below. While three out of 23 participants did not render suggestions on what should be taken into consideration about performance management in the SAMHS, summarised suggestions of the 20 participants comprise:

- Performance management should be introduced earlier and not only at management level and should be made part of all officers training.
- Performance management should be standardised and presented to all who are tasked with the performance management responsibility so that they can impart knowledge to those who are in their departments/units.
- Performance management should be in line with resources and should be in direct relation to outputs and outcomes that must be achieved.
- A performance management model that can be understood by everybody and can be implemented at all levels should be adopted.

- Performance against plan is a handy management tool for commanders, but the challenges lie with the measurement of productivity. A need to develop qualitative measures to enhance performance was stressed.
- SAMHS commanders to be afforded opportunities to implement their plans without undue interference by those in charge.
- Individual performance assessments should be carried out objectively in accordance with the specific key responsibility areas. Staff shortages impact negatively on performance and measurement thereof, as there are members who are expected to fulfil the responsibilities of two and sometimes even more individuals.
- There definitely is a need for performance management training. There is uncertainty as to what is expected of commanders with the new promulgated performance management instruction in the DOD.
- Training is necessary for a commander and a leader. Employees must be willing to be commanders, and they should be trained regarding aspects related to their posts.
- Resources are essential for performance. Human beings as resources are central to performance management and must be trained to yield expected outcomes.
- It should not be taken for granted that all commanders are knowledgeable and have a background in all management-related functions and areas. Support and training should be provided to commanders for their optimal functioning.
- Performance management should be an integral part of the induction course for new General Officers Commanding and Officers Commanding (OC).
- Opportunities should be created for OCs in order to receive performance management training.
- Investment in human capital is a prerequisite for successful performance implementation of performance management in the SAMHS.
- Decisions are to be made about what are outputs and performance indicators as well as objective measurements.
- Performance management to be kept simple. People who are competent in performance management should be invited to present to the commanders within SAMHS.

5.3 Conclusion

It is quite evident from the study that a performance management training need exists in the SAMHS with particular reference to the commanders in this organisation. Responses from completed questionnaires confirm the statement that there is a knowledge gap regarding performance management among members in management posts. The responses also indicated that training in performance management will enhance skills and result in measurable achievements.

The next chapter presents a discussion of conclusions from the research and recommendations.

CHAPTER 6

Conclusion and Recommendations

6.1 Introduction

The study was conducted with ease, although it took too long to finalise due to internal protocols in the SANDF that needed to be observed before information could be collected. The other challenge experienced was the unavailability of the university supervisor for long periods due to other university-related tasks. A delay regarding feedback from the supervisor was another challenge experienced by the researcher. The researcher's work obligations furthermore also hampered progress and prevented timely completion of the study.

The commanders in SAMHS who participated in the study indicated that, although the SAEF Model is the adopted and approved model through which performance management is assessed in the SAMHS, they are not trained in the model. Commanders who were approached by the researcher and requested to participate in the study were very willing and open to sharing their experiences and challenges with the researcher, and viewed the study in a positive light.

The study problem and objectives to be reached were formulated. An empirical study was conducted amongst commanders in the SAMHS and their responses were overwhelming and prompt. While not all participants who initially volunteered to participate in the study returned the research questionnaires, 92% of the questionnaires were returned in good time.

The focus of this study was on assessing the performance management needs of SAMHS commanders with the view of possibly developing a training programme in this regard.

This chapter outlines conclusions drawn from the empirical study conducted and recommendations.

6.2 Recommendations

Based on the results of the empirical study, the following crucial recommendations need to be taken into consideration and be effected at the earliest convenient time within the SAMHS:

- Acknowledgement that performance management-related training exists as a priority need within the SAMHS.

- A formal performance management training course for SAMHS commanders should be considered a priority as a means to enhance organisational performance and results-based service delivery.

- A thorough performance-related skills audit should be conducted at other levels of the SAMHS, including a survey/skills audit at individual employee level across the SAMHS, with the view of putting measures in place to holistically address the identified need.

- Training institutions, either within the DOD or external, should be used to conduct the training.

- Training should be considered for the majority of, if not all, SAMHS commanders with the view to cascade this training to all levels for the benefit of the broader organisation.

- The findings of this study are to be considered as a baseline for the comprehensive performance management needs assessment in the SAMHS.

- Findings of this study to be used as a baseline for training to be conducted or maybe as a guide to those who might design the training programme.

- The training curriculum should encompass most, if not all, aspects of performance management and measurement.

- National Legislation promoting performance management should to be promoted and marketed in the SAMHS.

6.3 Conclusions

The conclusions that follow were based on the empirical data collected and presented in Chapter 5.

The majority of the participants were colonels who mostly will be military health unit commanders. Colonels are equal to deputy directors in the public sector.

One of the 23 participants who returned the questionnaire omitted to respond to a number of questions. This participant indicated that his/her knowledge base was excellent. He/she therefore did not require training. This participant, to the contrary, indicated that he/she should be consulted when a training programme is designed.

There were more male than female participants in the study, although gender was not a focal point in this study. This indication might confirm that the military is a male dominated organisation.

All participants have been through some schooling and possess an educational qualification. A majority of the participants had a tertiary qualification. This is a positive indication that they have a knowledge base that needs to be updated for optimal functioning.

The years of experience of most of the participants (56%) as a commander within the SAMHS ranged between one and ten years. Despite the fact that they have been commanders for the stipulated period, they indicated and confirmed that it was necessary for them to be trained in performance management. One participant who had been a commander in the SAMHS for more than twenty years indicated that

he/she had received training in the past, yet stated that, with further training, he/she would gain more knowledge and skills and eventually be successful. This supports the aims of the National Skills Act of 1998 and that of the 1998 White Paper on Public Service Training and Education.

Fifty-six percent of the participants indicated that they have not received performance management training. This confirms that fact that training needs to be considered for commanders in the SAMHS for alignment with the broader public sector and for the SAMHS to perform optimally. This does not suggest that the SAMHS is not performing but simply means that performance will be enhanced.

Although 36% of the participants indicated that had received training before, responses to the follow-up question indicated that they would undergo training to update their knowledge base and for continuous improvement.

Most of the participants indicated that, although they might have received training in the past, this was informal, as it was on-the-job training through trial and error.

There was an indication by most of the respondents that they are not receiving any performance management training currently. This includes those participants who had indicated earlier that they had received training. This might be the opportune time for SAMHS to consider performance management-related training for its commanders.

Most of the participants indicated that they would prefer the training to be conducted by a tertiary institution or a training institution within the DOD. This implies that training is to be provided at a place designed for training and not on an ad hoc basis. The preferred frequency for training sessions was stated as either twice a year or quarterly. These choices might be based on the fact that, although a need for training exists, care should also be taken of other imperatives.

Most of the participants regarded their knowledge base concerning outcomes, outputs and activities, as well as inputs, as average.

Although a reasonable number of commanders regarded their knowledge base concerning the above-mentioned areas as good, they also responded positively to the subsequent question about receiving training on performance management.

Only one participant indicated his/her knowledge base concerning outcomes as excellent, whereas 20% indicated a good knowledge base concerning outcomes. One participant indicated a poor knowledge base concerning this area. This is a concern for the researcher, as this participant is in command of a unit and has followers; this participant therefore needs to be on par so as to function optimally and be able to fulfil expected responsibilities.

The majority of the respondents indicated that they needed performance management training, but to varying degrees. About 60% indicated that they certainly needed training, whilst 16% indicated that they needed training to a great extent, whereas 8% indicated that, although they needed training, it was to a lesser extent.

All these indications clearly and without any doubt confirm the researcher's initial opinion, that performance management training is necessary to equip and empower commanders within the SAMHS for optimal functioning and results-based service delivery.

About 72% of the participants have indicated that they have read policies/guidelines on performance management, whilst 20% have not. This is of concern to the researcher, as performance management is crucial, and government departments inclusive of the SANDF have been mandated to ensure that this matter is taken very seriously.

The above-stated conclusions clearly indicate and positively confirm what the researcher stated as a problem within the SAMHS with regard to performance management. The empirical study, as a scientific way to validate problems and devise means to address identified problems, fully supports the researcher's initial problem statement.

It has been confirmed through this study that there is a lack of performance management knowledge and skills among SAMHS commanders and a training programme therefore needs to be developed and implemented for the enhancement of performance in this organisation. What is also confirmed is that, although there are quite a number of SAMHS commanders with post-matric qualifications in the form of university degrees, honours and master's degrees, as well as a participant in the sample with a doctoral degree, performance management remains a challenge.

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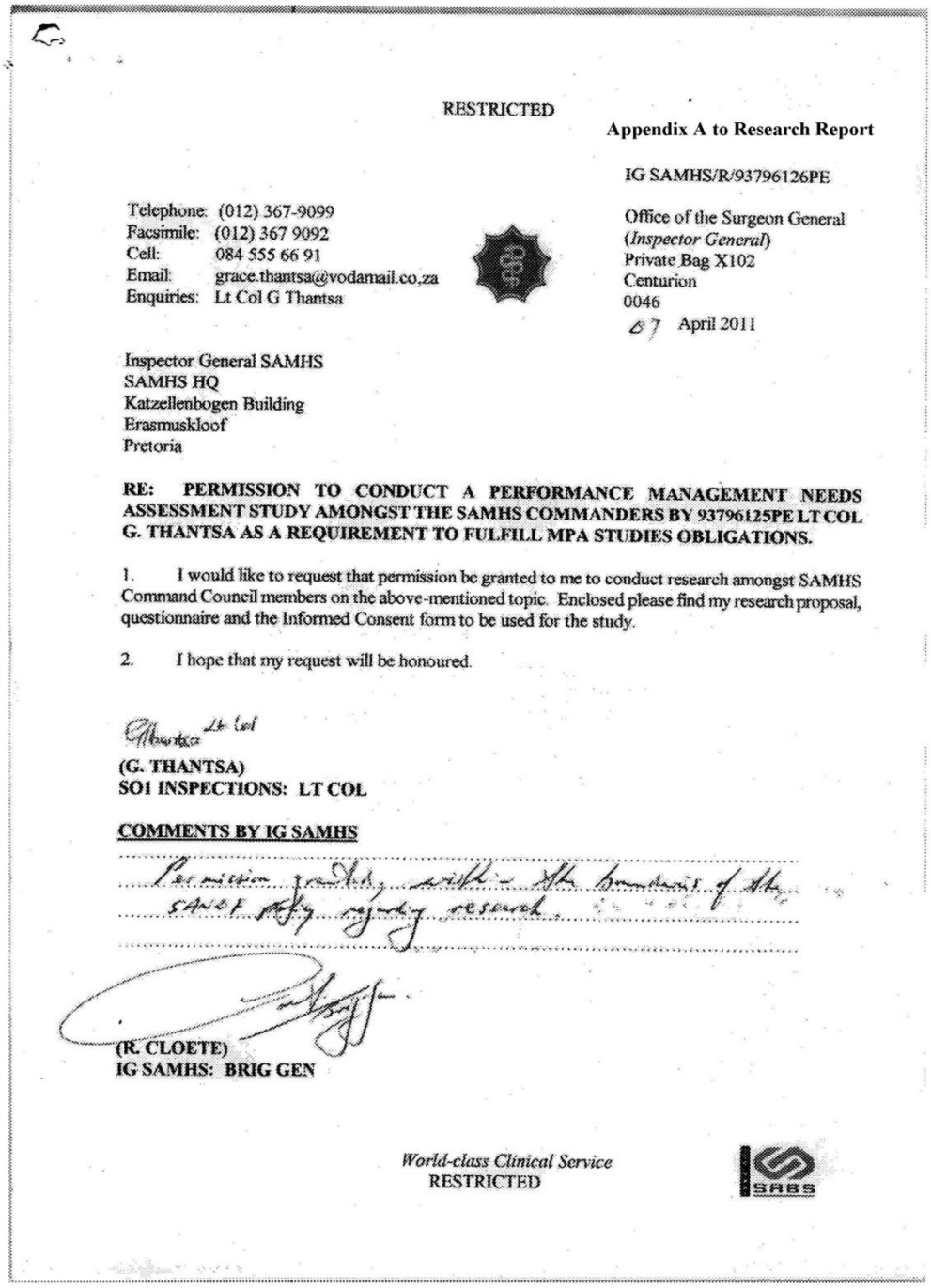
Appendix A to Research Report



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Appendix A to Research Report

IG SAMHS/R/93796126PE

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Cell: 084 555 66 91
Email: grace.thantsa@vodamail.co.za
Enquiries: Lt Col G Thantsa

Office of the Surgeon General
(*Inspector General*)
Private Bag X102
Centurion
0046

07 April 2011

Inspector General SAMHS
SAMHS HQ
Katzellenbogen Building
Erasmuskloof
Pretoria

RE: PERMISSION TO CONDUCT A PERFORMANCE MANAGEMENT NEEDS ASSESSMENT STUDY AMONGST THE SAMHS COMMANDERS BY 93796125PE LT COL G. THANTSA AS A REQUIREMENT TO FULFILL MPA STUDIES OBLIGATIONS.

1. I would like to request that permission be granted to me to conduct research amongst SAMHS Command Council members on the above-mentioned topic. Enclosed please find my research proposal, questionnaire and the Informed Consent form to be used for the study.

2. I hope that my request will be honoured.

Thantsa Lt Col

(G. THANTSA)
SO1 INSPECTIONS: LT COL

COMMENTS BY IG SAMHS

Permission granted, within the boundaries of the SANDF safety regulations research.

(R. CLOETE)
IG SAMHS: BRIG GEN

World-class Clinical Service
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Appendix A to Research Report
DI/SDCI/DCIC/R/202/3/7

Telephone: (012) 315-0216
Fax: (012) 326-3246
Enquiries: Brig Gen E.L. Pule

Defence Intelligence
Private Bag X367
Pretoria
0001

15 April 2011

AUTHORITY TO CONDUCT RESEARCH IN THE DEPARTMENT OF DEFENCE: LT COL G. THANTSA

1. Facsimile IG SAMHS/R/93796126PE dd 07 April 2011 refers.

2. Permission is hereby granted from a security perspective to Lt Col G. Thantsa to conduct research in the Department of Defence (DOD) on the topic entitled "Needs Assessment Amongst SAMHS Commanders" and to utilise the questionnaires as submitted to Defence Intelligence (DI) Sub-Division Counter Intelligence (SDCI).

3. On completion of the research, the final product must be submitted to DI (SDCI) for scrutiny and authority for release before distribution to any organisation or individual outside the DOD.

4. For your attention.

(MAJ GEN T. MATLAKENG)
CHIEF OF DEFENCE INTELLIGENCE: LT GEN

CED/CED (RecearchThantsa)

DISTR

For Action

SG - IG SAMHS (Attention: Lt Col G. Thantsa)

Internal

DI/SDCI/DCIC/R/202/3/7

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Appendix B to Research Report

QUESTIONNAIRE FOR ASSESSING THE NEEDS FOR PERFORMANCE MANAGEMENT TRAINING AMONGST SAMHS' COMMANDERS

The aim of this questionnaire is to ascertain the needs for a Performance Management training programme for SAMHS Commanders, i.e. Directors, GOCs and Unit Commanding Officers. The main reason for choosing the topic for the study is to ensure that the Department of Defence, SAMHS as an Organisation, is in line with all other Public Sector entities in adhering to requirements by government. Performance Management, Monitoring and Evaluation and Results-Based service delivery have become the order of the day with outcome-based service delivery being the central issue. In determining whether SAMHS commanders are in a position to meet the expectations, this study will assist in identifying whether any gaps exist with regard to Performance Management and Measurement. This study is conducted as partial fulfilment towards my MPA studies with the University of Stellenbosch.

The respondents providing this information for the study will remain anonymous as no identifying particulars are required. Please be honest when answering the questionnaire for the benefit of the organisation, SAMHS. Remember that the first answer that comes to mind is the appropriate and honest answer.
NB: Please read the questions carefully and mark with X in the appropriate box for the most applicable response. Some questions require your further explanation, as well.

Thank you for participating in this study.

SECTION A

Biographical Information

1.	**Rank**	
(a)	Maj Gen	**1**
(b)	Brig Gen	**2**
(c)	Col	**3**
(d)	Other	**4**
(e)	If your answer is "Other", please specify	**5**

2.	**Gender**	
(a)	Male	**1**
(b)	Female	**2**

3.	**Your Highest Educational Qualification**	
(a)	Matric	**1**
(b)	Post-Matric Certificate	**2**
(c)	Diploma	**3**
(d)	Advanced Diploma	**4**
(e)	Degree	**5**
(f)	Honours Degree	**6**
(g)	Master's Degree	**7**
(h)	Doctoral Degree	**8**
(i)	Any other Qualification that is not mentioned above	**9**

SECTION B

Experience as an SAMHS Commander.

4. How long have you been serving as a Commander within SAMHS?		
(a)	20 years and more	**1**
(b)	15 to 19 years	**2**
©	11 to14 years	**3**
(d)	5 to 10 years	**4**
(e)	1 to 4 years	**5**
(f)	Less than one year	**6**

SECTION C

Performance Management**.**

5.	**In your work experience within SAMHS as a Commander, have you received any Performance Management-related training?**	
(a)	Yes	1
(b)	No	2

6.	**If your answer to question 5 is "yes", what type of performance management-related training did you receive?**	
(a)	A formal training at a venue away from the office within the DOD/SAMHS.	**1**
(b)	A formal training at a venue outside the DOD/SAMHS.	**2**
(c)	On-the-job training by my colleagues.	**3**
(d)	Observation of colleagues.	**4**

7.	**Are you currently receiving any Performance Management-related training?**	
(a)	Yes.	1
(b)	No.	2

7b. Please motivate your answer to question 7.

8.	**Have you undergone any form of management training in the past that included Performance Management-related components?**	
(a)	Yes.	1
(b)	No.	2

8b. If your answer to question 8 is "Yes", please specify the training received and the Performance Management related components covered**.**

SECTION D

Performance Management Knowledge Base

9.	**Do you regard your knowledge about performance management outcomes as?**	
(a)	Excellent	1
(b)	Good	2
(c)	Average	3
(d)	Poor	4
(e)	Very poor	5

10.	**Have you read any policy/guidelines on Performance Management?**	
(a)	Yes.	1
(b)	No.	2

10b. **If your answer to the previous question is "Yes", please state the title of policy/guidelines you have read, and where you got the policy/guidelines.**

11.	**Do you regard your knowledge about Performance Management outputs as?**	
(a)	Excellent	1
(b)	Good	2
(c)	Average	3
(d)	Poor	4
(e)	Very Poor	5

12.	**Do you regard your knowledge about Performance Management key activities as?**	
(a)	Excellent	1
(b)	Good	2
(c)	Average	3
(d)	Poor	4
(e)	Very Poor	5

13.	**Do you regard your knowledge about Performance Management Inputs as?**	
(a)	Excellent	1
(b)	Good	2
(c)	Average	3
(d)	Poor	4
(e)	Very Poor	5

14.	**Do you think you are comfortable in compiling Plans/Programmes for your department/directorate that are measurable?**	
(a)	Yes, Certainly.	1
(b)	Yes, to a great extent.	2
(c)	Not Certain.	3
(d)	Yes, but to a very less extent.	4
(e)	Certainly, not at all.	5

SECTION E

Performance Management Training

15.	**Do you think as a commander within SAMHS, performance management-related training will enhance your performance and that of your directorate/department/unit?**	
(a)	Yes.	1
(b)	No.	2

16.	**Do you think you have a need for Performance Management-related training as a SAMHS Commander?**	
S(a)	Yes, Certainly.	1
(b)	Yes, to a great extent.	2
(c)	Not Certain.	3
(d)	Yes, but to a very less extent.	4
(e)	Certainly, not at all.	5

17.	**Whom do you think would be suitable to conduct the Performance Management-related training?**	
(a)	A colleague within the SANDF who is competent on Performance Management.	**1**
(b)	Training Institutions within the SANDF.	**2**
(c)	Consultants.	**3**
(d)	Tertiary Institution.	**4**
(e)	Other colleagues in the Public Sector.	**5**
(f)	Other service providers that are not mentioned above.	**6**

17b. **If your answer to 17 is "Other", please specify**.

18.	**How should the Performance Management training be presented?**	
(a)	Once in a month.	1
(b)	Once in 2 months.	2
(c)	Quarterly.	3
(d)	Twice a year.	4

19.	**In what areas of Performance Management do you experience problems the most as a Commander?(Mark all applicable Options)**	
(a)	Performance Impacts.	1
(b)	Performance Outcomes.	2
(c)	Performance Outputs.	3
(d)	Performance Activities.	4
(e)	Performance Inputs.	5

20.	**What other additional Performance Management-related needs that you think should be taken into consideration when a Performance Management training programme is considered? (Mark all options applicable)**	
(a)	Compilation of Business Plan/Programme that will enable me to measure results.	1
(b)	Compilation of Performance Agreements that will enable me to measure results.	2
(c)	Compilation of Duty Sheet that will enable me to measure results.	3
(d)	Compilation of Budget that will enable me to measure results.	4
(e)	How to formulate Performance Standards.	5
(f)	How to formulate Performance Indicators.	6
(g)	How to formulate Performance Targets.	7

21.	**Would you like to be consulted when a Performance Management-related training programme for SAMHS Commanders is designed?**	
(a)	Yes.	1
(b)	No.	2

22.	**Training will increase my knowledge as a commander.**	
(a)	Yes.	1
(b)	No.	2

23.	**Training will increase my chances to succeed as a commander.**	
(a)	Yes.	1
(b)	No.	2

24.	**With training, I will gain more skills.**	
(a)	Yes.	**1**
(b)	No.	**2**

25. **Any suggestions that need to be taken into consideration about Performance Management in the SAMHS**?

Appendix C to Research Report

INFORMED CONSENT FORM

Enquiries: **Lt Col G Thantsa**
Telephone: **(012) 367-9099**
Fax: **(012) 367-9092**
Email: **grace.thantsa@vodamail.co.za**

Date: 26 July 2011

University Coordinator
Ref.. **Ms A. Burger**
Tel. **(021) 918-4412**
Fax. **(021) 918-4123**
Email: **ab5@sun.ac.za**

Informed Consent

TITLE OF STUDY: NEEDS ASSESSMENT FOR A PERFORMANCE MANAGEMENT TRAINING PROGRAMME AMONGST THE COMMANDERS WITHIN THE SOUTH AFRICAN NATIONAL DEFENCE FORCE: SOUTH AFRICAN MILITARY HEALTH SEVICES.

Researcher: Ms (Lt Col) Grace Thantsa, University of Stellenbosch: School of Public Management and Planning

1. **Purpose of the Study*:* The purpose of the study is to assess SAMHS Commanders needs with regard to a Performance Management Training Programme.**

2. ***Procedures****:* I will be asked to complete a questionnaire that aims at Identifying what are "I" (----------)my training needs with regard to Performance Management in order for a training programme to be put in place to address the identified needs. The researcher will provide me with clear instructions on how to complete the questionnaire. The researcher will inform me well in advance (at least a week) before the beginning of the study in order to ensure that I will be available to complete the questionnaire. The questionnaire will take a period not exceeding 30 minutes to complete. Upon completion of the questionnaire, the completed questionnaire will be collected from me by the researcher (Lt Col G. Thantsa) or can be sent via mail.

3. ***Risks and Discomforts:*** There are no known medical risks or discomforts associated with completing questionnaires of this nature/or participating in such studies, although I may experience fatigue and/or stress when completing this questionnaire. I will take as many breaks as I want during the questionnaire completion session. I will utilise professional services of military psychologists and

social workers should I experience any discomforts emotionally as a result of my participation in the study.

4. ***Benefits:*** I understand that there are no immediate benefits for me as an individual participating in this study. However, the results of the study may help the researcher and the SAMHS in gaining a better understanding of how Performance Management and the measurement of performance in my Area of Responsibility can be enhanced. Study findings will help with formulation of a need-based Performance Management training programme that can be utilised within the SAMHS for Commanders, to Plan and Budget for services that are measurable in order to report on results and challenges experienced in services delivery.

5. ***Participant's Rights:*** I voluntarily participate in the study and may withdraw from participating in the study at any time.

6. ***Financial Compensation:*** There will be no monetary rewards for participating in this study.

7. ***Confidentiality:*** I expect the researcher to keep all information gained from me confidential at all times. The completed questionnaire will be analysed only by the Principal Investigator (Lt Col G. Thantsa), MPI and if necessary authorised members of the research team at the Centre for Effect Analysis from office of IG DOD.

8. I (Name and surname) _____, understand that the results of the study will be kept confidential, unless I ask that they be released. The results of this study may be published only for the DOD/SAMHS Commanders and professional journals or presented at professional conferences, but my records or identity will not be revealed unless required by law.

9. The data will be handled only by the researcher; the professional staff members at Stellenbosch University and any other member of a research team within the DoD Centre for Effect Analysis or any research professional within the DoD registered with a statutory body that is governed by Code of Ethics. I understand that the raw data of this study may be stored at a safe place by the researcher for a period that is not exceeding 5 years, possibly for follow-up research purposes.

10. If I have any questions of concerns, I can call Ms (Lt Col) G. Thantsa at 084-555-6691 or (012) 367-9099 or tie-line (SANDF internal communication line 865 9099). I understand my rights as a researcher subject, and I voluntarily consent to participation in this study, I understand what the study is about and how and why it is being done. I will receive a signed copy of this consent form.

_____ _____

Subject's Signature **DATE**

_____ _____

Signature of Investigator **DATE**