

Master's Degree

**CONCEPTUALISING A PERSONAL CAPACITY DEVELOPMENT FRAMEWORK FOR SENIOR  
MANAGEMENT SERVICE IN THE DEPARTMENT OF DEFENCE**

by  
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## DECLARATION

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## SUMMARY

Processes aimed at military professionalism and public service professionalism through capacity development for senior management services (SMS) by means of education, training, and development (ETD) opportunities are imperative. Equally crucial is that these opportunities match the competencies required in the Department of Defence (DOD). This study aims to propose a DOD-specific development framework for personal capacity development of SMS through an analysis of the status of current governance. A qualitative research method was employed within the interpretivist paradigm with a resultant case design. Two custom designed questionnaires were used as primary sources of data. In addition, document analysis aimed to validate and triangulate the findings. The SMS in the DOD is a unit of analysis comprised of 270 SMS members, inclusive of Defence Act Personnel (DAP) and Public Service Act personnel (PSAP) designated in respective Services and Divisions. Purposive sampling was utilised to describe a phenomenon of which little is known from existing literature. All members of the SMS working in an HR environment were targeted to participate in the study. Seventeen participants responded voluntarily to the questionnaires. Furthermore, accountability documents of the DOD were sampled to determine the balance and consistency of the information. Areas in which they are detailed, and areas in which they are not, in relation to the research questions, were also investigated. Systems theory underpinned in DOD HR processes revealed the identified aspects thereof that add value to working together effectively, cooperatively. Findings revealed that capacity development is a continuous process that changes over time and which is influenced by three capacity levels for example, environmental, organisational, and individual, all of which interact mutually while impacting clearly the capacity development framework. Further studies are recommended towards understanding pedagogical enhancement related to the topic of research, and the incorporation of gender considerations into the curriculum of Professional Military Education (PME). The study is limited to DOD SMS members, even though it is understood that SMS is a universal institutional function. The proposed framework underpins the leadership, management, and governance processes that support

learning and innovation commanded by strategists who embrace the African philosophy.

Key Words: Capacity Development, Compulsory Training Programmes, Competencies, and Senior Management Service

## OPSOMMING

Prosesse gemik op bevordering van professionalisme in die militêre en openbare dienstesektore, onderskeidelik deur middel van kapasiteitsontwikkeling vir Senior Bestuursdienste (SBD [SMS]), soos verweselik deur opvoedings-, opleidings- en ontwikkelingsgeleenthede (OOO/ETD), is onontbeerlik. So ook die feit dat hierdie geleentheid die vereiste vaardighede van die Departement van Verdediging (DvV) moet verteenwoordig. Hierdie studie beoog om 'n DvV-spesifieke raamwerk vir persoonlike kapasiteitsontwikkeling van die SBD deur 'n analise van die stand van huidige korporatiewe bestuur aan te beveel. 'n Kwalitatiewe navorsingsmetodiek binne 'n interpretivistiese paradigma is gevolg met 'n gevallestudie as navorsingsontwerp. Twee studieverwante vraelyste is as primêre databronne ontwikkel. Dokumentanalise is aanvullend tot vraelyste benut om bevindinge se inhoudsgeldigheid te verseker en te trianguleer. Die SBD in die DvV is 'n eenheid van analise wat 270 lede bevat, insluitend Verdedigingswetpersoneel (VWP/[DAP]) en Openbare Dienstepersoneel (ODP/[PSAP]) wat aan onderskeie Dienstekorpse en Afdelings toegedeel is. Doelgerigte steekproefneming is benut om 'n verskynsel waarvan min in die bestaande literatuur beskikbaar is te beskryf. Alle lede van die SBD [SMS] wat in MH-omgewings werksaam is, is vir deelname aan hierdie studie geogmerk. Sewentien deelnemers aan die studie het vrywillig reageer op die uitgestuurde vraelyste. Verdermeer, aanspreeklikheidsdokumente van die DvV is gesteekeproef om hul gebalanseerdheid en konsekwentheid, te bepaal. Areas waarop hul fokus, en ander ander areas wat moontlik oorgesien word, in konteks van die navorsingsvrae van hierdie studie, is ook ondersoek. Stelselteorie ondervang deur DvV-prosesse het dáárdie aspekte van die stelsel wat waarde toevoeg tot effektiewe samewerking en samehorigheid, uitgelig. Voorlopige bevindinge is dat kapasiteitsontwikkeling 'n deurlopende proses is wat oor tyd verander, en wat deur drie kapasiteitsvlakke beïnvloed word, naamlik: omgewings-, organisatoriese en individuele vlakke wat onderling op mekaar inwerk, terwyl dit ook 'n merkbare invloed het op die kapasiteitsontwikkelingsraamwerk. Verdere studies ten opsigte van die verstaan van pedagogiese verryking relevant tot die onderwerp van hierdie navorsing, en die insluiting van genderoorwegings in die kurrikulum van Professionele Militêre

Opvoeding (PMOpv) vir offisiere, word aanbeveel. Hierdie studie is beperk tot lede van die DvV SBD [SMS], al word SBD as universele institusionele funksie beskou.

Die voorgestelde raamwerk ondervang die leierskaps-, bestuurs- en korporatiewe bestuursprosesse wat dáárdie leer en innovasie wat deur Afrikagesentreerde strateë omarm word, ondersteun.

**Sleutelbegrippe:** Kapasiteitsontwikkeling; Verpligte Opleidingsprogramme; Vaardighede; Senior Bestuursdiens

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## ABREVIATIONS

ADDIE	Analyse, Design, Develop, Implement, and Evaluate
AIDS	Acquired Immunodeficiency Syndrome
APP	Annual Performance Plan
APR	African Peer Review
ATMC	Advanced Training Management Course
AU	African Union
BMTS	Basic Military Training System
BPP	Batho Pele Principle
CBM	Competence-based Management
CD	Chief Director
CIP	Compulsory Induction Programme
CMC	Core Management Criteria
CMR	Civil-Military Relations
CNDF	Canadian National Defence Force
COVID-19	Coronavirus disease
C SANDF	Chief of South African National Defence Force
D	Director
DAP	Defence Act Personnel
DCM	Directorate Career Management
DDG	Deputy Director General
DG	Director General
DHE	Department of Higher Education
DMPU	Directorate Military Personnel Utilisation
DOD	Department of Defence
DPME	Department of Performance Monitoring and Evaluation
DPSA	Department of Public Service and Administration
DvV	Departement van Verdediging
EDP	Executive Development Programme
EIP	Executive Induction Programme
ETD	Education, Training, and Development

ETDP	Education, Training, and Development Practice/Practitioner
EU	European Union
FCA	Functional Competence Authority
FLO	Foreign Learning Opportunity
HET	Higher Education and Training
HIV	Human Immunodeficiency Virus
HOD	Head of Department
HR	Human Resource
HRCC	Human Resource Command Council
HRD	Human Resource Development
HRDSS	Human Resource Development Strategy and Systems
HRM	Human Resource Management
ICDP	Individual career development Plan
IMDP	Integrated Management Development Programme
IPADA	International Public Administration and Development Alternatives
ITSC	International Trade and Security Cluster
JCPS	Justice, Crime Prevention and Security
JICA	Japan International Cooperation Academy
LDMSF	Leadership Development Management Strategy Framework
LDP	Leadership Development Programme
LMS	Learner Management System
M&E	Monitoring and Evaluation
MCA	Military Competency Authority
MCC	Military Command Council
MDG	Millennium Development Goal
MMS	Middle Management Service
MOD&MV	Minister of Defence and Military Veterans
MPET	Management Performance Assessment Tool
MPSA	Minister of Public Service and Administration
MTSF	Medium Term Strategic Framework
MTT	Ministerial Task Team

NQF	National Qualifications Framework
NDP	National Development Plan
NDS1	National Development Strategy1
NEPAD	New Partnership for Africa's Development
NHRDS	National Human Resource Development Strategy
NSDS III	National Skills Development Strategy III
NSG	National School of Government
NYS	National Youth Service
ODP	Openbare Dienstpersoneel
OOO	Opvoedings-, Opleidings- en Ontwikkelingsgeleentede
PA	Performance Agreement
PAP	Pan-African Parliament
PCRD	Post-conflict Reconstruction and Development
PSC	Public Service Commission
PDP	Personal Development Plan
PERSOL	Personnel and Salary Administration System
PESTE	Political-Economic-Social-Technological-Environmental
PFMA	Public Finance Management Act
PIFC	Public Internal Financial Control
PIVOTAL	Professional, Vocational, Technical and Academical programmes
PMC	Parliamentary Monitoring Committee
PMDS	Perfomance Management Development Programme
PM&E CDS	Performance Monitoring and Evaluation Capacity Development Strategy
PME	Professional Military Education
PMOpv	Professionele Militêre Opvoeding
PSA	Public service Act
PSAP	Public Service Act Personnel
PSCBC	Public Service-Coordinating Bargaining Council
PSR	Public Service Regulation
PSETA	Public Service Sector for Education Training Authority



REC	Regional Economic Community
Re SPA	Regional School of Public Administration
RISDP	Regional Indicative Strategic Development Plan
RSA	Republic of South Africa
SADC	Southern African Development Community
SADF	South African Defence Force
SANDF	South African National Defence Force
SAQA	South African Qualifications Authority
SASSETA	Safety and Security Sector Education and Training Authority
SBD	Senior Bestuursdienste
SDF	Strategic Planning Framework
SDG	Sustainable Development Goals
SDSP	Security and Defence Study Programme
Sec Def	Secretary for Defence
SES	Senior Executive Service
SIPO	Strategic Indicative Plan for the Organ
SMS	Senior Management Service/System
SP	Strategic Plan
STEAM	Science, Technology, Arts, and Mathematics
SU	Stellenbosch University
T&E	Training and Education
UK	United Kingdom
UN	United Nation
UNDP	United Nations Developmental Programme
USA	United States of America
US NOAA	United States National Oceanic and Atmospheric Administration
VWP	Verdedigingswetpersoneel
WIL	Work-Integrated Learning
WSP	Workplace Skills Plan
WPTPS	White Paper on Transformation of Public Service
ZDF	Zimbabwe Defence Force
ZNA	Zimbabwe National Army

# CHAPTER 1: INTRODUCTION AND OVERVIEW OF THE STUDY

## 1.1. INTRODUCTION

The global partnership between member states and the United Nations Developmental Programme (UNDP) is an honest compact intended to empower people, and build and sustain institutions with solid levels of performance (Lopes & Theisohn, 2003:11). Because of such a global partnership, South Africa (SA) through the Department of Public Service and Administration (DPSA) adopted the concept of Senior Management Service (SMS) from Canada. In that regard, Canada Public Services utilised SMS in application of the key leadership profile competencies for public service leadership competencies, up to the level of Deputy Minister, since the late nineties (Forgues-Savage & Wong, 2010:1). Furthermore, this leadership profile established values and ethics, linked to management accountability in the Canada Public Services, as a foundation for leadership. The key leadership profile is also utilised to incorporate qualitative data into workforce analysis and Human Resource (HR) plans for staffing and performance assessment. This profile is also a tool for assessing executive candidates for possible appointment and leadership development programmes.

Similarly, in preparation for execution of the adopted SMS, the DPSA assessed the readiness of government departments through a skills audit system known as HR Connect (Erasmus & van Zyl, 2009:5). Subsequently, from this auditing system and process for assessing the skills gap project, the dimension of the SMS competence delivered eleven outputs as critical generic competencies for managers to the level of Director General in state departments. Meanwhile, the SMS was intended to address the need for improved service delivery in SA, which remains a fundamental priority of the SA government to effect greater stability and adaptability to SMS. The SMS Handbook (DPSA, 2003:no pagination) is used to provide guidelines in the utilisation of SMS in state departments to play a critical role in effective and efficient management of the public service. Furthermore, in the SMS handbook, the DPSA outlined the SMS competency framework that is widely utilised by organisations to identify the competencies essential for effective and efficient job performance. This approach does not exclude the Department of Defence (DOD) from implementing SMS

programmes that address such competencies in developing the management capacity of SMS members.

More importantly, the SMS was introduced in the DOD to preserve expertise in leadership by retaining horizontal mobility within the SANDF and maintaining compliance to internal and external equity (Department of Defence, 2002b:1). The SMS in South African state departments is therefore an intervention to curb state fragility which is directly related to capacity deficits initiated by managers with lack of attributes. These attributes can be addressed through capacity development (Brinkerhoff, 2007:6). The DOD views leadership capacity deficit as an element that needs to be prevented and resolved through personal capacity development in line with DPSA Human Resource Management (HRM) principles and processes. The UNDP (2008a:4) emphasises the kind of capacity development that is beyond training, which supports training programmes and the use of national expertise inclusive of response and support strategies for accountable leadership.

For developing the leadership attributes of officials, the Defence Review 2015 (Department of Defence, 2014:11-3) identifies education, training, and personal-professional development (ETD) as competence-based response to the need. The said development should be embedded in defence culture from entry to exit of its officials to inculcate leadership skills through professional learning paths. Lamb (2004:1) introduces the transformed South African National Defence Force (SANDF) as a new military, fashioned with new roles, functions, structure, and improved relationship with a civilian government that prioritises race and gender disparities. When compared to the South African Defence Force (SADF), the competence-based ETD became a significant shift in the approach implemented pre 1994. There was then no real culture of military education, much rather a focus on operational and tactical military training (Esterhuyse, 2011:4). According to Esterhuyse (2011:6), SANDF leaders, post 1994 must meet the demands that extend beyond the traditional responsibility of preparing forces for executing combat and other types of military operations to being involved with broader political and economic challenges of the State. Hence, the existence of the civilian component led by the Sec Def, supported by the Military Ombud and the Defence Commission.

In light of the above, a transformed Defence Force is challenged by the endeavour to sustain submission to civil supremacy while maintaining military professionalism (Lamb, 2004:1). In SA, therefore, the transformation process brought an element of deficiency to the DOD and SA by shifting priorities, causing resource limitations, skills deficit, and producing weak leadership that makes it difficult to implement its operational mandate without draining economic resources. Institutional transformation hits the backbone of the institution in the cultural, human, political, and organisational spheres. It resulted in downsizing of the DOD Human Resources (HR) from 83 000 on all three categories of DOD employees (regular force, reserve force, civilians). The downsizing must be considered in context of its stated one-force philosophy (Parliamentary Monitoring Group, 2019:4). Based on the White Paper on Defence (Department of Defence, 1996:no pagination), a new dimension in respect of defence posture is revealed, yet without compromising the primary mandate of the SANDF. The SANDF is also mandated to promote and maintain regional security beyond the borders of SA. To answer to these demands, an innovative approach is required with a broad scope of attributes for senior managers in mind. These attributes go beyond preparing technically and tactically proficient officers; much rather preparing strategists who are flexible towards integrating the complex cultures and politics of the SADC region.

To address development needs of the SMS members, the DOD SMS Policy (Department of Defence, 2002b:9) links the SMS Competency Framework to management of SMS performance annually, after signing the Performance Agreements (PAs) with supervisors as prescribed in the public service SMS Handbook. According to the DPSA (2010:no pagination), the DOD must identify generic managerial and leadership training needs of the SMS members from the PAs and categorise them according to the needs of SMS members. In addition, compulsory training programmes are meant to address leadership and managerial competencies for the purpose of reporting development of SMS members in the DOD in the broader Public Service. Participation in development needs that address the eleven generic competencies expected of senior managers, other than functional/technical competencies for specific jobs remain a challenge. Such competencies will be dealt

with in detail in chapter two to emphasise their implementation status in the public domain as indicated by the DOD.

Moreover, the SMS development challenge is extended by the fact that SMS members participate in different programmes for uniformed members, just an example, thus Defence Act Personnel (DAP), and for civilian officials, an example, the Public Service Act Personnel (PSAP). These programmes are perceived to aim at the same generic competencies in different settings provided by different service providers, an activity that is highly impossible for achieving the same goal. Very few opportunities to participate in programmes relevant to both civilians and uniform members are offered to civilian officials which reveals a clear shortcoming in management and leadership styles demonstrated by senior members, both DAP and PSAP. This study inter alia critically compares processes for military professionalism on the one hand, and public service professionalism on the other hand, as recognised through ETD opportunities to satisfy competencies required in the DOD (Moorhouse, 2019:16). That comparison is investigated in detail in the chapters to come, especially during data analysis. The background to the research problem is outlined below to explain the origin of the research problem.

## 1.2. PROBLEM STATEMENT

### 1.2.1. Background of the Problem Statement

The SANDF has embarked on benchmarking with several countries, internationally, continentally, and even regionally to enhance ETD through the professional learning paths for all DOD officials. These paths show the developmental path from entry to exit in the system. Considering the above efforts stated from the Defence Review 2015 to guide SMS capacity development, it appears the development of senior managers is not implemented consistently between DAP and PSAP, nor reported fully by the DOD. It is possibly because of absence of a uniform development framework that addresses SMS compulsory training programmes. The lack of a uniform development framework poses a challenge for the DOD in terms of ensuring, an effective monitoring and evaluation plan for the available programmes. Furthermore, since 2016 there is a

steady annual decline in SMS participation in compulsory training programmes for generic managerial and leadership development in the DOD.

In the current post, the researcher directs the ETD of PSAP, including SMS members. Thus, the researcher is an insider in this process. She observed the problem of limited participation by SMS members, DAP and PSAP in compulsory training programmes when consolidating annual reports over the period 2016 to 2019. Just over 10% participation was reported for the three consecutive years. The gap in knowledge identified in this study relates to management accountability in recognition and instilling values and ethics as a leadership function found in generic competencies for SMS (DOD, 2020a:17). Despite all efforts through seminars and conferences, the SMS in the DOD has low participation in compulsory training programmes. This is because SMS members in the DOD are offered a choice to participate in compulsory training programmes, which in fact does not make the training compulsory anymore. For SMS members in uniform participation is affected by the processes followed to identify participants in programmes in line with career development. There is thus a clear difference between DAP and PSAP when it comes to training and development of SMS members in the DOD. This difference will be clarified in forthcoming chapters. At this point the significance of the study is discussed to outline where exactly the problem is.

### 1.2.2. The Significance of the Study

SMS members in the DOD are appointed in posts carrying defined job weights designated by the Secretary for Defence (Sec Def) for civilians or Chief SANDF (C SANDF) for military officials (Department of Defence, 2002b:4). The system works very well for the department, as these two groups of officials must comply with different guiding aspects of their development and career endeavours. However, the system poses a challenge in terms of the development of monitoring and reporting capacity of SMS members in general.

The challenge relates to training and development activities that are supposed to equip members with the required competencies to perform and prepare them for their jobs and future responsibilities. Yet, the programmes identified fall short of doing so, thus forfeiting the long-term return on investment expected through education and learning

for sustainable development outcomes (UNDP, 2008a:4). Due to the lack of monitoring and evaluation of programmes, low participation identified by the researcher if not addressed will impact negatively on members' competencies and ultimately affect service delivery adversely. Literature confirms that training and education impact organisational performance directly (Rossouw, 2004:11). This implies that the performance of the DOD might deteriorate soon due to the shortfall in capacity development of SMS members.

This study does not intend to bring the DOD and its senior officials in disrepute. It aims to report on a phenomenon that exists, objectively and critically. Information about SMS members and the DOD systems will remain confidential and will be handled with due diligence for the duration of the study and beyond. After completion of the research, SMS members of the DOD are likely to benefit indirectly once the proposed framework is available, and the recommendations are favourably accepted by the DOD. It is therefore not possible to separate military SMS members from those who are civilians, as the outcome of the study is meant to enhance the HR system for both categories of SMS, specifically in terms of SMS capacity development. The research problem will therefore be identified in the statement of research the research problem that follows.

### 1.2.3. Statement of the Research Problem

From the above background information, it is thus clear that the research problem for this study relates to the fact that the SANDF lacks a uniform comprehensive framework for the professional development of SMS members (both DAP and PSAP) in the DOD. It is therefore important that the study is conducted to conceptualise a generic personal capacity development framework for both DAP and PSAP of the DOD. The said framework may then be recommended for implementation to address low participation on development programmes and related secondary factors that exist due to the non-availability of a common development framework for monitoring and evaluation. This is possible through a thorough investigation of literature from the public sector available in the public domain, including DOD documents.

### 1.3. PURPOSE OF THE STUDY

The purpose of the study is to develop and propose a generic development framework for the personal capacity development of the SMS in the DOD that incorporates both DAP and PSAP.

### 1.4. RESEARCH QUESTIONS

#### 1.4.1. Primary Research Question

What development framework may be proposed for personal capacity development of SMS members in the DOD?

#### 1.4.2. Secondary Research Questions

- What is the governance status for capacity development management of SMS members in the DOD?
- How can development need of the SMS members be made visible for planning, monitoring, and evaluation?
- Which framework with unique elements can be developed to manage personal capacity development of SMS members in the DOD?

#### 1.4.3. Objectives

- To analyse the status of governance for management of capacity development of SMS members in the DOD.
- To establish how development needs of SMS members can be proactively made visible for planning, monitoring and evaluation.
- To develop a framework with unique elements to manage personal capacity development of SMS members in the DOD.

### 1.5. RESEARCH METHODOLOGY

Babbie and Mouton (2001:72) provides a clear distinction between a research design and the research methodology whose processes in research are demarcated by a thin line. Further, in describing the research methodology Chowdhury (2019:106) provides a definition of a systematic plan employed to conduct a scientific enquiry from



participant recruitment if needed, to do data collection, analysis, and reporting through qualitative and/or quantitative research approaches. In addressing the research problem, the study adopted the view which promotes the application of natural science methodology in social science research. The study therefore investigated the relevance of the conception of knowledge based on the primary source of knowledge found from the experience of participants. Furthermore, the relevance was tested on the naturalist interpretation of objectivity based on the objective decision taken by the researcher to clear any pre-set ideas. The object of the study has been approached with a value-free attitude. In addition, the relevance of the study was measured on causality of things through which inference is made from repeated occurrences between observable variances on the likelihood that training affects performance directly.

The research methodology chapter of the study will explore alternative methodological approaches. The chosen research methods will be justified, and the processes and participants of the study will be described and dealt with in detail (Alsamawi et al., 2017:29). In this case, the qualitative approach through which understanding of meaning and self-description of individuals and the organisation will be explored (Chowdhury, 2019:105). This exploration requires a methodology which emphasises idiographic<sup>1</sup> descriptions, qualitative analysis, and objectivity. In addition, the method of sampling; organisation of data; contextualisation; ensuring reliability, validity, and objectivity; cross-disciplinary research; and research ethics will be addressed in the next chapters.

## 1.6. PROPOSED VALUE ADD

The researcher identified the DOD as a focus of research because it is a workplace, an environment familiar to the researcher, and the background of the problem is known to the leadership in this state department, and recognised as one which may require scientific knowledge for an authentic solution to a well-motivated organisational problem. The results of the research project might benefit the department much, as

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<sup>1</sup> A graphic symbol that represents an idea or concept, independent of any language, and specific words or phrases.

the researcher intends to conduct the study in a real-life situation through which, the researcher aims to develop her own skills and expertise as a manager in the DOD.

In addition, the use of this current research and consultancy will develop the management and executive skills needed by the researcher to navigate professionally with greater insight in her complex and ever-changing world of work.

## 1.7. DEFINITION OF TERMS

The following concepts are defined in context of the study according to the statutes of the DOD and International Military Institutions, DPSA, Department of Higher Education and Training (DHET), and the UNDP.

**Capacity:** The abilities, skills, understandings, values, relationships, behaviours, attitudes, resources and conditions that enable individuals, organisations, networks or sectors and broader social systems to carry out functions and achieve their objectives over time (Bolger, 2000:2)

**Capacity Development:** A process by which individuals and organisation obtain, improve, and retain the skills, knowledge, tools, equipment, and other resources needed to do the job. For the purpose of the study, capacity development will be utilised interchangeable with capability development as adopted by the UNDP (2009:4).

**Civilian Competency Authority:** The Director delegated with the authority to address professional development requirements of the civilian component of the DOD (DOD, 2017a:no pagination).

**Competency:** General description of behaviours and activities that must be demonstrated by Senior Managers to achieve the desired level of knowledge, skills, behaviours, or outcomes required (Department of Defence, 2002b:5).

**Competency Profile:** A document that describes the set of competencies particular to a job, position, occupational group, or functional community where competencies are defined in association with behaviours that are linked to strategic objectives (Forgues-Savage & Wong, 2010:2).

**Core Management Criteria:** The DPSA criteria on managers to do their jobs and identify generic areas that are important to most management jobs and provide standards based on how these should be carried out effectively in most organisational and job contexts (Public Service Commission, 2008:vi).

**Culture:** A set of shared values and beliefs within an organisation (Hachey et al., 2020:2).

**Defence Act Personnel (DAP):** DOD members appointed under the Defence Act of 2002 (As amended) (Department of Defence, 2002a:no pagination).

**Department of Defence Officials:** Include Regular Force, Reserve Force, as well as Public Service Act Personnel (DOD, 2017a:no pagination).

**Education, training, and development (ETD):** A systematic and planned process to gain knowledge and skills and to change behaviour of people in such a way that organised objectives (outcomes) are achieved.

**Education, training, and development doctrine:** The fundamental principles by which education, training, and development are guided in support of national and organisational objectives. It is authoritative but requires judgement in application and could be aimed at strategic guidance or the delivery thereof (DOD, 2017a:no pagination).

**Expertise:** The knowledge and skills required for the profession and which reflects service specialised training (Hachey et al., 2020:2).

**Functional Competency Authority:** The SANDF functional director responsible for the function feeder pipeline, standards and requirement of a specific corps, mustering or occupational group with a specific Service or Domain (DOD, 2017a: no pagination).

**Leadership:** The capability to influence people, by means of personal attributes and/or behaviours to achieve a common goal (Excellence Squared, 2017:15).

**Learning Path:** Sequence of qualifications that allow learners to move vertically, diagonally, and in some cases horizontally, through NQF levels, giving learners recognition for full or partially completed qualifications or part-qualifications (Department of Defence, 2014:11-7).

**Lifelong learning:** The practice of people continuing to learn throughout their lives (DOD, 2017a:no pagination)

**Management:** A set of processes that keep a complicated system of people and technology running smoothly and effectively (Excellence Squared, 2017:15).

**Public Service Act Personnel (PSAP):** DOD officials appointed under the Public Service Act (DPSA, 2014:no pagination).

**Senior Management Service (SMS):** A programme developed by government for management to play a critical role in the effective and efficient functioning of the Public Service (DPSA, 2003:1).

**Stakeholders:** A person or group of people, including institutions with a direct interest, involvement, or investment in a given situation, action or enterprise directly affected by the organisation's actions (Phillips, 2014:34).

**One-force concept:** A defence force organised, commanded, and administrated to consist of regular, reserve, and civilian components, including any auxiliary service established by the Minister (Department of Defence, 2014:4-1)

## 1.8. CHAPTER OUTLINE AND TIMELINE

The structure of this research paper is such that part of the academic report will be Chapter 1 as an introduction and overview that introduces the research question to be addressed by the research and the critical aspects that will be dealt with in the proceeding chapters. The literature review will follow in two chapters, Chapters 2 and 3. Chapter 2 provides a critical analysis of literature in the public domain on capacity development of SMS in the DOD, for both DAP and PSAP, based on vertical and horizontal alignment of the HR processes. Chapter 3 explores the statutory mandates and legislative prescripts in HRM systems of the DOD that have impact on capacity development of SMS. Chapter 4 reports the research methodology in which the researcher will provide the scientific processes and the use of scientific methods, techniques, instruments, and tools for data collection and analysis. Chapter 5 presents the research findings that will lead to the design of a framework to be discussed in chapter 6 as discussion and interpretation of results. The final chapter of the report (Chapter 7) reveals the understanding of the journey taken in the process of acquiring

skills and knowledge throughout the project from the initial stages of planning, implementation to the withdrawal stage from the project. Furthermore, the researcher will make recommendations on the findings, draw conclusions, and lastly indicate the need for further research.

## 1.9. CONCLUSION

In closing, this current chapter of the background and overview laid a foundation for the remaining six chapters of the research report. The introduction to the study provided the problem as identified by the researcher as it existing in the DOD in SA; its significance in relation to training and development of SMS of the DOD, and the statement of the research problem, for example, the lack of a comprehensive, uniform framework for professional development of SMS members in the DOD. The purpose of the study was consequently used to elicit research questions which comprised primary and the secondary questions which would be steering the research process. Then, a brief description of the research methodology was provided to set the level at which the plan for conducting a scientific enquiry is employed, and selection of the qualitative research approach for the study was explained. The terminology that describes some of the processes involved in capacity development were also revealed. This chapter is followed by two chapters on literature review to anchor the need for the in-depth scientific study of available sources relating to the research topic, the research problem and research questions and key words identified for the study. The next chapter addresses the first part of the literature review concerning SMS development in the public domain.

## CHAPTER 2: LITERATURE REVIEW: SMS DEVELOPMENT IN THE PUBLIC DOMAIN

### 2.1. INTRODUCTION

The contextual overview of the problems related to SMS capacity development in the DOD provided in the previous chapter revealed a need to investigate literature on SMS development in the public domain. This chapter will investigate relevant literature in depth by means of a literature review that will overflow to chapter three, in which the focus will be on the public service and DOD prescripts. A literature review is therefore generally understood as an objective, critical summary of published research literature relevant to the research topic to create familiarity with current thinking and research while justifying future research into previously overlooked or understudied areas (Chowdhury, 2019:102). When looking deeper in the research topic of conceptualising a personal capacity development framework for SMS in the DOD, literature has been viewed in the context of capacity development of SMS members in the DOD and the broader Public Service. Due to the limited scientific sources available for the defence industry, especially in the African continent, other than that available in Western and European countries, much of the literature investigated is based on the broader South African Public Service.

On that basis, this chapter provides a critical analysis of literature on capacity development of SMS in the DOD, for both DAP and PSAP, inclusive of different ranks and salary levels as may be revealed from information in the public domain. This chapter is organised into three categories of themes that bring in-depth understanding of the concept capacity and its levels, capacity development of SMS, and the importance of human resource (HR) systems with regards to how capacity development relates to human resource development (HRD). The concept of capacity and its levels guides this discussion to contextualise the concept capacity development.

## 2.2. CAPACITY LEVELS

Capacity is defined as abilities, skills, understandings, values, relationships, behaviours, attitudes, resources and conditions that enable individuals, organisations, networks/sectors and broader social systems to carry out functions and achieve their objectives over time (Bolger, 2000:2). This definition reveals the core elements of capacity that address what of capacity and that need to be developed, enhanced, and utilised during capacity development intervention. These elements are categorised in capacity development objectives (enhance or utilise skills, abilities, and resources; strengthen understandings and relationships; address issues of values, attitudes, motivations, and conditions to support sustainable development) that are associated with capacity levels.

The UNDP categorises capacity into three levels, the enabling environment, the organisational level, and individual level. These categories come in handy to address capacity challenges. The said levels are termed differently in literature when capacity development is addressed at the level of the State (Wignaraja, 2008a:5). The different levels of capacity are crucial for providing insight towards effective utilisation of these levels during the process of creating capacity development programmes in an organisation. The three capacity levels include, enabling environment; organisational level; and individual level of capacity are interrelated. They interact and influence one another mutually, and can in fact rarely function fully independent from one another in a system. This integrated system is displayed organisationally by the interaction between intrastate departments in their respective clusters, and globally when observing the impact, global trends have in each organisation.

SMS members in the DOD must observe interrelatedness when developing internal policies and strategies, in collaboration with those clusters that the DOD contributes to the strategic intent of government through the Justice, Crime Prevention and Security (JCPS) Cluster, and the International, Trade and Security Cluster (ITSC) (Department of Defence, 2012:15). This does not exclude key stakeholders that may be regarded as a person or group of people with a direct interest, involvement, or investment in the DOD from monitoring DOD processes, stakeholders such as the

Parliamentary Monitoring Committee (PMC), HRD Council, and the Military Ombud. The DOD ensures its readiness and alignment of policies are addressed through the three levels of capacity by complying with the monitoring and evaluation processes stipulated by the Department of Performance Monitoring and Evaluation (DPME) linked.

The DPME provides an interrelation of the Performance Monitoring and Evaluation Capacity Development Strategy (PM&E CDS) 2014-2020 pillars including, enabling environment; institutional capacity; individual capacity; and stakeholder coordination (Phillips, 2014:9). These pillars enable sustainable capacity development as ordered and committed by government. They talk directly to the levels of capacity that need to be assessed by state departments continuously for effective performance. The interrelation between the components of the different levels of capacity provide a better understanding of the areas to consider when developing, implementing, and assessing the development framework for SMS members. These three levels also represent a level of analysis, and possible entry for a capacity development intervention. Furthermore, the systemic approach among these capacity levels demonstrate that the world is an assembly of small and distinct parts that work together in synergy. Figure 2.1 below illustrates coexisting components of the different capacity levels in a systemic approach:

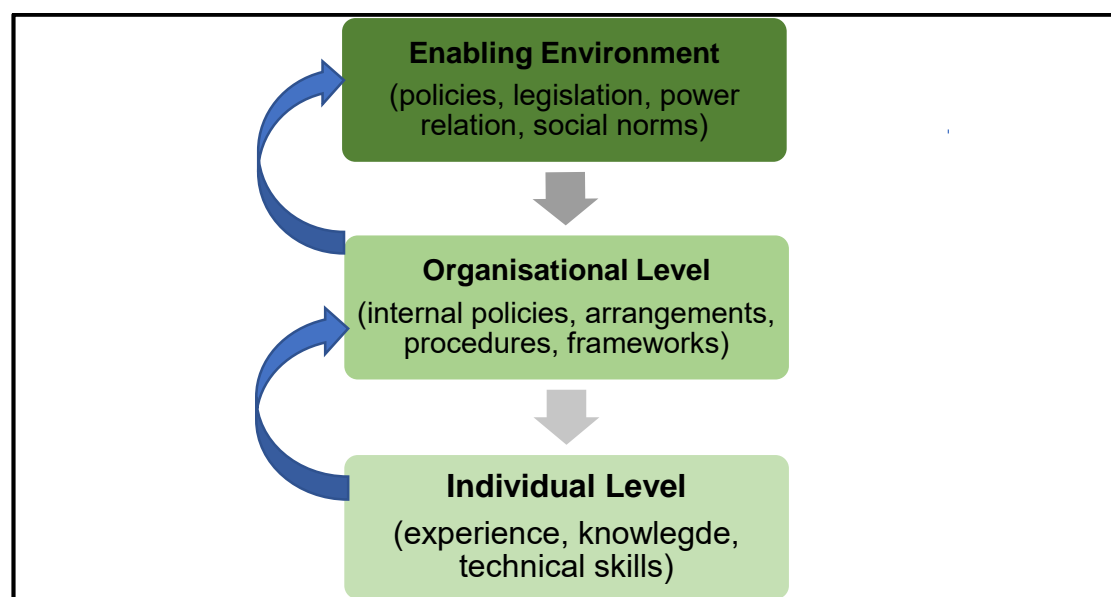


Figure 2.1: Capacity Level: Systemic Approach (Wignaraja, 2008a:6)



The depiction in Figure 2.1 above demonstrates the interlinked relationship between capacity levels: individual level; organisational level; and enabling environment, and their being parts of a broader whole. In the nutshell, a good understanding of policies, legislations, power relations, and social norms at the enabling environment can lead to clearly defined internal policies, arrangements, and frameworks at the organisational capacity level. Thus, integrity, experience, knowledge, and skills of personnel in the organisation will be of high quality. As a result, the enhancement of knowledge for individuals delivers an output that relies on the quality of the institution. However, the effectiveness of the institution is influenced by policies, legislation, power relations, and social norms at the level of enabling environment. The enabling environment, in return, is influenced by how internal structures of power create governance.

### 2.2.1. The Enabling Environment

Among the three levels of capacity, the enabling environment is a broader system within which the other two levels, organisational and individual levels function. It affects their existence and performance. The enabling environment is central to the understanding of capacity issues as it impacts directly on the interaction between and among organisations, demonstrated through the common utilisation of the capacities that include policies, legislations, and social norms (Wignaraja, 2008a:6). It is at this level of capacity that the overall scope of capacity development is set. This view calls for the DOD to strengthen HRD systems for workplace learning. SMS members must ensure in post-training for themselves and other officials, to enhance self-development within a field of expertise, and to sustain effective and efficient specialist services (Department of Public Service and Administration, 2009:7).

The body of research has proven that the enabling environment represents a broad context within which development processes take place by either enabling or constraining the process (Bolger, 2000:3). This is visible in underperforming organisations where there are poorly conceived policies, high levels of corruption leading to a disabling environment with significant consequences for development initiatives. Conversely, sound policies, high levels of commitment, effective coordination, and a stable economic environment can lead to an enabling environment

that increases the possibilities for success. This enablement starts at the entry point in an organisation where the Human Resource Development Strategic Framework (DPSA, 2015:no pagination) for the Public Service mandates all government departments to implement an induction and reorientation programmes for its officials.

To ensure compliance, new entrant civilians including those belonging to the SMS in the DOD, must undergo post-orientation within six months of appointment (DOD, 2017a:no pagination). The DOD Orientation Programme is presented in four groups according to the learning path stages, namely: Salary Levels 1 – 5; 6 – 8; 9 – 1; 13 – 16. The DOD Orientation Programme for PSAP intends to instil a sense of belonging, for civilians to understand the fundamental functions and administration of the DOD and its organisational culture, whereas the new entrant defence force members go through a Basic Military Training System (BMTS). This programme is professionally conducted to guide the young employees towards maturing and socialising adults with self-confidence and self-respect, and a capacity for mutual respect (Department of Defence, 2014:8-11). Over and above this kind of orientation, the SANDF provides a National Youth Service (NYS) which comprises induction, formative training, community service training, and work-integrated or service learning, which includes continuation training in support of other state departments. Some of the products of the NYS intervention programmes may be recruited into the DOD. It is at the Military Academy that military professional ETD and commissioning is done, which initiates a developmental process that encourages productivity and leadership in the workplace for the said newly appointed group of members.

The PM&E CDS 2014-2020 through the pillar of providing an enabling environment, provides guidelines on the broader public sector context which involves governance, legislative and policy frameworks of the public sector, including procedures, practices, structures, values, and systems in state departments (Department of Performance Monitoring and Evaluation, 2010:9). The macro system generally includes international and domestic economic, political, and social conditions, technological developments, and general legislative frameworks. According to the DOD Annual Report (DOD, 2019:135), in compliance with the PM&E CDS 2014-2020, governance and accountability are applied to comply with legislation, regulations, and best

practices applicable to the organisation. It involves a system of good governance, risk management and effective control for better implementation of the DOD mandate. Since 2012, DOD compliance has been institutionalised by means of the Management Performance Assessment Tool (MPET) (DOD, 2019:137). The current study has inter alia investigated DOD compliance when it comes to the implementation of MPET on capacity development of SMS members.

### 2.2.2. The Organisational Level

According to the PM&E CDS 2014-2020 (Department of Performance Monitoring and Evaluation, 2010:4), the organisational level of capacity comprises organisational design and development, culture, climate, leadership, values, resources, infrastructure, processes and procedures, management systems and technology. At this level, managers may identify appropriate training programmes to build the competencies required. Wignaraja (2008a:6) explains the components of this level of capacity as a framework that allows an organisation to operate and deliver on its mandate, while bringing the individual capacities to work together and achieve goals even beyond the systems altogether if they are well resourced and well aligned. At this level of capacity, the benefits of the enabling environment become active and individuals work together effectively (Wignaraja, 2009:11).

The focus on organisational structure, processes, resources, and managing issues is the most common entry for bilateral donors whose inputs include technical assistance, budgeting, or infrastructure support to the organisation. The organisational level of capacity and the enabling environment affects the performance of the organisation, depending on the availability, effective use of the capacities and motivations of individuals. Capacity development at this level encourages thorough analysis of issues and also the assessment of factors from other levels that may constrain or support processes of organisational and enabling environmental change (Bolger, 2000:4). It is at these levels that the innovative contributions of the SMS members on new policies or policy changes make a positive impact in the clusters for government departments.

### 2.2.3. The Individual Level

The individual level of capacity refers to the knowledge, skills, attitude, and values demonstrated by personnel in performing their jobs. At this level capacity is acquired through formal, non-formal, and informal learning and is enhanced through continuous education, performance agreements, reward and sanctions, competency and qualification frameworks, formal skills programmes, and experiential learning (Department of Performance Monitoring and Evaluation, 2010:6). In the process of developing these competencies, leadership skills are qualities found in leaders based on behaviour. On the other hand, leadership skills are rather collaborative relationships that lead to collective actions which depend on shared values of people working together constructively towards achieving the goal of the organisation as key attributes (Kumar et al., 2014a:no pagination).

In search of an explanation of the impact of individual capacity level on the public service, the Public Service Commission Report (Report on the outcomes of the SA-EU dialogue on a Values-driven Public Sector: Building State Capacity through Professional Ethics and Integrity) cites the challenges experienced in SA state departments based on lack of professional ethics and integrity, informs need for building a values-driven public sector (Public Service Commission, 2019:2). Such a report talks directly to the attributes enshrined in Chapter 10 of the SA Constitution. The report also provides guidelines on alignment of values, principles, and common purposes; stable, capable, and credible leadership; skilled, ethical, and professional staff; direction and accountability; and mechanisms for reinforcing values in the public service.

Wignaraja (2009:11) explains the enhancement of the individual level as the way in which access to resources and experiences can be shaped by other capacity levels, i.e. the enabling environment and organisational level, even though they are also influenced by the degree of capacity development of each individual. This implies that adequate capacity within individuals will always be lacking without appropriate supportive strategies, policies, legislation, and procedures from the other two capacity levels. The democratic SA government is known to have well-defined policies, yet lack good strategies for their implementation, thus revealing a gap in interaction among the

different capacity levels. This affects a very crucial aspect of introducing the SMS which was discussed in the previous chapter, which hinders the SMS members to deliver. It is critical at this stage that the concept of SMS be defined.

### 2.2.3.1. Senior Management Service

Senior management service or sometimes referred to as the senior management system is defined as a senior management concept adopted for a critical role in the effective and efficient functioning of the Public Service (DPSA, 2003:no pagination). The SMS to be discussed in this paper will encompass senior management in the DOD. As in the broader Public Service, that incorporates managers in salary levels 13 – 17, without excluding the head of department (DPSA, 2001:43). Furthermore, this study will also include senior military managers that are in ranks remunerated on grade 13 and higher. Such officials comprise of Brigadier-Generals/ Rear-Admirals (Junior Grade), Major-Generals/ Rear-Admirals, Lieutenant-Generals/ Vice-Admirals; and Generals or Admirals (DOD, 2019:159). Furthermore, the SMS Public Service Handbook (DPSA, 2003:1) identifies such an individual based on the role expected as *“a leader with an array of skills, both hard and soft, in order to manage competing policy priorities and mandates, in complex organisational environments inhabited by people who bring with them a wide range of backgrounds, cultures and experiences.”*

This definition reveals a dire need for SMS members to be capacitated in all spheres throughout their careers to be able to fulfil the critical role of alleviating or averting state fragility that leads to poor Public Service delivery. SMS members are to continuously update such skills and knowledge to enhance their performance in their current jobs and prepare themselves for the future (DPSA, 2006:38). According to the Leadership Development Management Strategic Framework (LDMSF) (DPSA, 2008:1), the SMS members as public service leaders are expected to live by high ethical standards and the shared values of performing excellently, since their role is crucial in shaping the direction, structure, systems, culture, and achievement of outcomes of state institutions. Their performance should capitalise on technology, investment in relevant skills and innovation that may address development needs in this volatile era.

The SMS was introduced in the public service with a specific objective, the establishment of an effective, efficient, and accountable cadre that will enhance levels of performance among managers while nurturing a sustainable, SMS cadre through continued training and development. In support of the objective for introducing SMS in the public service, the Public Service Commission Report (Public Service Commission, 2019:18) reveals that the government departments have a tendency of putting great emphasis on competency assessment which they regarded as a formal evaluation of competencies in relation to the position the specific SMS occupies (DPSA, 2010:no pagination). Such an assessment is administered to SMS members in the initial stages of their career without monitoring the progress and the effect of the intervention programmes or courses meant to address the gaps identified during the assessment. This stems from the fact that the competency assessment framework focuses on generic management skills without assessing functional requirements for the job, thus addressing capacity issues only at the beginning of the career of the SMS member, and not encouraging continuous development. The gap of the assessment of functional requirements is addressed by means of minimum entry requirements introduced to standardise training and development of SMS, coupled with relevant qualifications and years of service for the acquired knowledge, skills and experience linked to the inherent requirements of the job (DPSA, 2001:50).

Furthermore, according to the DOD SMS Policy (Department of Defence, 2002c:1), the SMS in the DOD was established to preserve expertise in leadership. The Parliamentary Monitoring Group report (Parliamentary Monitoring Group, 2019:no pagination) in reviewing the Defence Review 2015 principles, describes the role of SMS in relation to the four Arms of Services (SA Army, SA Air Force, SA Navy, and SA Military Health Services) as a leadership role that enhances required defence capabilities, the prevention and resolution of conflict in Africa through the coordinated and integrated application of the political, diplomatic, economic and military capabilities of the state and diplomacy. This view is not clear about the role played by SMS members appointed as the support service to the SANDF in the respective divisions and the office of the Secretary for Defence (Sec Def). The roles and responsibilities of the SMS are explicit in the DOD Strategic Planning Framework

(SPF) in which the Defence overarching strategy is aligned with the subordinate planning instrument, as depicted in Figure 2.2 below:

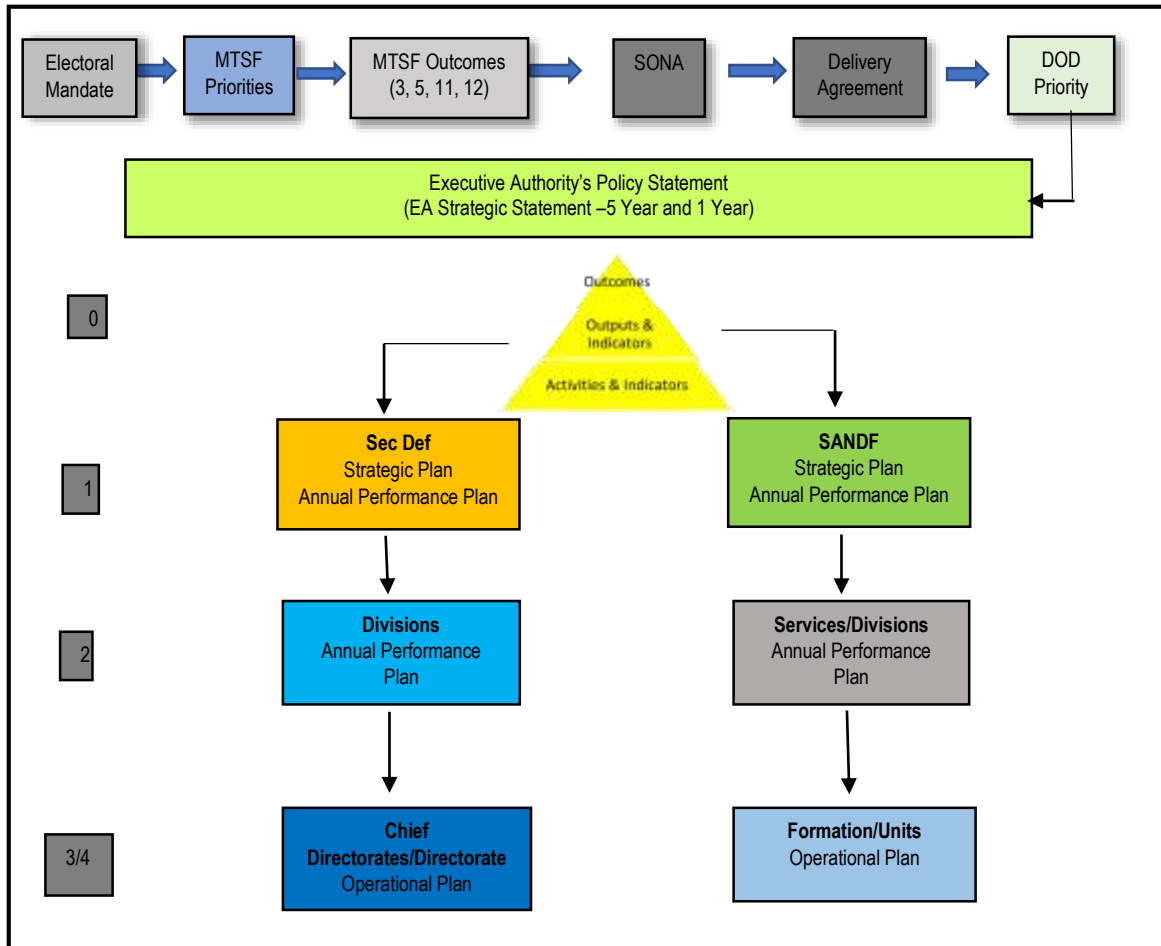


Fig 2.2: Strategic Planning Framework within the Broader Context of Defence (Department of Defence, 2012:16)

The roles and responsibilities of the senior managers of the DOD are depicted hierarchically from level 0 of the ministerial office to level 4 at the military units. This planning framework is designed to include: 1) DOD Overarching Strategic Statement by the MOD & MV at level zero; 2) DOD Annual Overarching Strategic Statement by the MOD & MV at level zero; 3) Defence Secretariat Strategic Plan (SP) and Annual Performance Plan (APP) at level one; 4) South African Defence Force Strategic Plan (SP) and Annual Performance Plan (APP) at level one; 5) DOD Services and Divisions Annual Performance Plans (APPs) at level three; 6) Chief Directorates/ Formations and Directorates Operational Plans at level three and four; 7) Performance Agreements to be signed at all levels (0-4). The emphasis on the framework is a top-

down directing and bottom-up reporting approach with regards to the strategic planning of the DOD, whereas the APP on each level reflects outputs and indicators per level per year. The section has reviewed the capacity development of SMS to investigate the capacities that are developed for all categories of SMS.

### 2.3. CAPACITY DEVELOPMENT OF SMS

When dealing with capacity development, it is not possible to look at SA Government priorities that its respective state departments must observe, without considering the global partnership with the UNDP that provides Millennium Development Goals (MDGs) fulfilled by each state (Lopes & Theisohn, 2003:9). The UNDP plays a huge role in providing guiding principles on issues related to development, monitoring and evaluation, and the development agenda of the countries that are affiliates. The UNDP utilises monitoring as a mechanism for learning and adjusting evolving conditions when dealing with capacity development other than using monitoring as a reporting and control instrument that does not have positive influence.

The UNDP defines capacity development as the process through which individuals, organisations and societies obtain, strengthen and maintain the capacities to set and achieve their own development objectives over time (UNDP, 2009:4). Even though some researchers, (Lopes & Theisohn, 2003:12) hold a view that incorporates the existing capacity and assets that the process builds, Kennedy (2006:5) and Phillips (2014:33) provide a slightly different view when they demonstrate a process that is beyond ETD to benefit both the individual and the institution or organisation. Furthermore, Phillips (2014:33) includes the use of innovative approaches to enable the individuals to perform effectively and efficiently, and to use evidence to solve problems while effecting transformational and sustainable change in institutions. On that basis all preceding views are fully supported by the study. Such that, for the purpose of this study, the definition of capacity development refers to *“the approaches, strategies, and methodologies used by the country and external stakeholders for individuals, organisations and societies to enhance capacity at all levels of capacity in order to improve performance and achieve own development objectives over time”*.



Based on this definition, the scope of capacity development cannot be limited to supporting training programmes provided by the organisation, and the use of national expertise found within individuals. As stated by Wignaraja (2008a:3), a development process that includes response and support strategies for accountable leadership, and investments in long-term education and learning, is proper. The outcome of such efforts gives meaning and shape to the principle of national ownership by capitalising on local resources that include SMS members, their skills, available technologies and institutions of learning and development. Furthermore, this definition supports the view by Wignaraja (2009:5) that, capacity development is the means to the end of gaining the capacity to plan and achieve the development objectives of the organisation over time through transformation from within. This implies that the success of capacity development requires an enabling environment that is supported by appropriate policy, legal and organising framework capacities that enable long-term recognition, development, and use of appropriate capabilities within the organisation.

The effectiveness of the UNDP in capacity development centres on its considerable experience in well-researched capacity development. One of the guiding principles this study adopted from the UNDP is the five-step capacity development process that is based on an iterative process of design-application-learning-adjustment (Wignaraja, 2009:21). The five-step capacity process involves: 1) engage stakeholders on capacity development; 2) assess capacity assets and needs; 3) formulate a capacity development response; 4) implement a capacity development response; 5) evaluate capacity development. This five-step capacity development process is closely linked to the five functional capacities identified in the capacity assessment framework. This is not by coincidence, as they are the important drivers of the effective capacity development process itself. These functional capacities are cross-cutting management capacities utilised in the formulation, implementation, and review of policies, strategies, programmes, and projects, relevant to SMS members in any state department. Unlike technical capacities that are associated with specialists in an organisation, as with military professionals in the DOD, the functional capacities are emphasised in the five steps of capacity development relevant for all SMS categories. Furthermore, these steps are closely linked to policy programme planning and design, which is regarded as the way to identify a policy related problem, in which the

knowledge of different stakeholders will lead success factors of the policy. The implementation of capacity development follows five strategic phases (defining present capacity within the system; identifying possible future capacity; identify the capacity gaps and achieve the desired goals; fulfilling the strategies and undertaking the planned capacity development activities in order to meet the defined objectives; and monitoring and evaluation to feedback experiences back into the planning phase) of which the major part of implementation is addressed in the assessment of assets and needs (Kay et al., 2004:5).

This study has made use of the different approaches that include, comprehensive approach of integrated capacity levels; five-step capacity development process; and policy programme planning and design approaches in developing a framework through the five phases of capacity development. The effectiveness of these approaches is proven by many writers, an example, Auriacombe (2011:44), Czarnecki (2018:39), Kennedy (2016:2), and Wignaraja (2009:21) who propose effective capacity development processes with recommendations for implementation, monitoring and evaluation. These research studies were consulted to provide different approaches that are implicated in both military and civilian SMS groupings by applying the five-step process in the design, implementation, and monitoring and evaluation of capacity development intervention programmes. Figure 2.3 illustrates the five-step capacity development (CD) process, followed by a discussion of each step of the process.

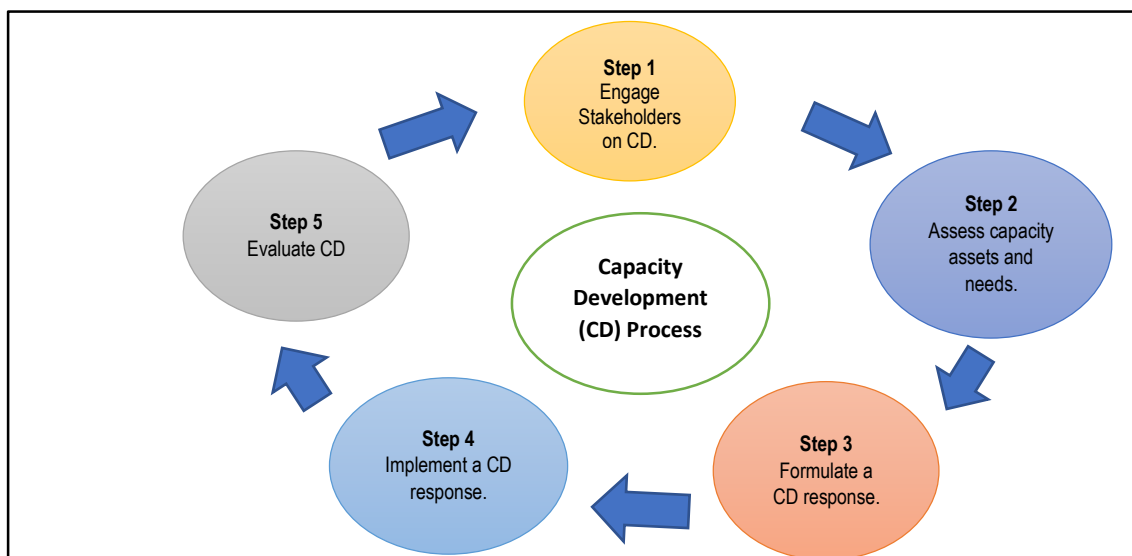


Figure 2.3: The Capacity Development Process (Wignaraja, 2009:20)

Figure 2.3 depicts a cyclic capacity development process with five steps that are explained in detail, per step, as follows.

### 2.3.1. Step 1: Engaging Stakeholders

As the first step in the capacity development process stakeholders are identified, motivated, and mobilised to create partnerships and networks for collaborative mechanisms by means of group processes and open dialogues (Wignaraja, 2009:22). The DPME explains stakeholder involvement as the ability of stakeholders to contribute to and support the implementation of the strategy brought forward by the owner of the programme who will at the end own and be accountable for the strategy (Phillips, 2014:33). Stakeholders are therefore any individual or entity with an interest in capacity development. The DOD ETD internal (Chiefs of Services and Divisions, DOD Training Institutions) and external stakeholders (Department of Higher Education and Training, Higher Institutions, National School of Government, and recognised Foreign Educational Institutions) are involved from the initial stages of planning the capacity development interventions, to securing their buy-in and support the right quality of DOD personnel (Department of Defence, 2010:5).

Further consultations are continued with relevant forums, such as, the HR forum for Directors, and the ETD Committee with SMS representatives from different directorates, including Services and Divisions. In these forums presentations are made and inputs are gathered for further consultation with higher level board of directors that include, Human Resource Command Council (HRCC), Military Command Council (MCC), and Secretary for Defence Council, for decision making. Such engagements may lead to inputs provided to DOD external stakeholders that include, the Parliamentary Monitoring Committee, and HRD Councils. During such engagements, stakeholders do risk analysis that may lead to a development of a risk management plan with new interventions to prevent potential risks (Auriacombe, 2011:46).

The DOD HRD Renewal and Modernisation Strategy 2025, with a ten-year planning horizon from 2016-2025, is aligned with Defence Review 2015 Milestones by means of: Plans, Learning Pathways, Providers and Partners, Governance, and Collaterals to deliver outstanding leaders for DOD success (DOD, 2017a: no pagination). The plan is designed as a five-point plan that addresses: the renewal of skills planning with

accurate plans for capacity building; the professional and functional learning paths for professionalisation and leader development; the modernisation of the internal providers consisting of fifty DOD institutions; building systems for quality and credit-bearing learning with active governance and compliance; and building partnerships with other public institutions and the provision of collateral support capacity. Both internal and external stakeholders are actively involved, to the point of assessing the need for capacity development without losing sight of capacity assets available while addressing those assets that are needed. This will be discussed in the next section.

### 2.3.2. Step 2: Assess Capacity Assets and Needs

Wignaraja (2008b:10) defines capacity assessment as “*an analysis of desired capacities against the existing capacities that offer a systemic way of gathering information that is prioritised according to capacity assets and needs*”. This infers a capacity to assess a situation and define a vision and mandate from the data and information that is accessed, gathered, and disaggregated for analysis and synthesis to form assets and needs that are translated to a vision and mandate. During the assessment of capacity needs a gap is identified between the existing and required capacities. The first three of the five phases of capacity development are completed, such as, defining the existing capacities, identifying possible future capacity, and identifying the capacity gaps and planning strategies (Kay et al., 2004:5).

The briefing on the Defence Review 2015 by the DOD to the Parliamentary Monitoring Group reveals three areas addressed in capacity development when adjusting the DOD strategic intent during transformation. The changes in the role of the DOD in the post-94 democratic society lead to the renewal of the organisational structure of the SANDF, which includes: the capability and capacity of the SANDF to ensure the defence sovereignty of the RSA; the protection of the country’s vital interests; and the ability to support multi-national interventions in Africa. The presentation highlighted the importance of the Defence Review as a DOD policy that gives government the strategic intent on public and security sector (DOD, 2019:3). The Defence Review is meant to stabilise, restore, and ensure the defence capability of the country by means of a renewed leadership, discipline, management, and HR system. The DOD HR

Strategy identifies labour including HR as the major assets of the DOD, the force behind attainment of the DOD outputs, depending on labour peace within the organisation (Department of Defence, 2009:31).

According to Wignaraja (2009:25), the UNDP capacity assessment framework captures an interplay among three dimensions of an assessment. It involves: 1) points of entry (three capacity levels); 2) four core issues (institutional arrangements, leadership, knowledge, and accountability); and 3) functional and technical capacities, an approach that is crucial in identifying capacity assets for effective development. The points of entry have already been discussed in detail in paragraph 2.2 under capacity levels. At this point, instead of discussing what the capacity levels are, the study will focus on their roles in the interplay and the in-depth description of the other dimensions, some core issues, and functional and technical capacities. Figure 2.4 below illustrates the interplay of the three-dimensional capacity assessment.

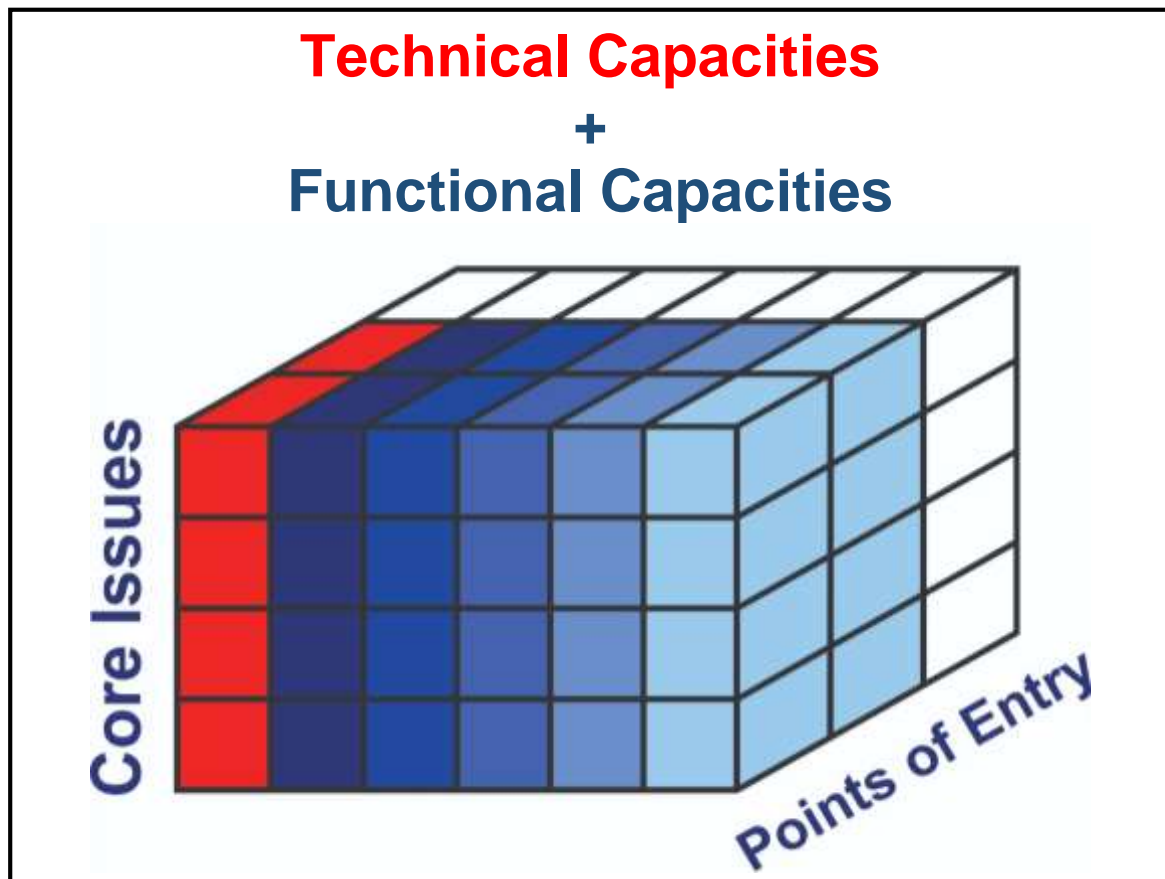


Figure 2.4: UNDP Capacity Assessment Interplay (UNDP, 2008b:14)

Figure 2.4 above depicts the capacity assessment interplay between the three capacity levels discussed earlier in the chapter represented now as the entry points, the four core issues, and the technical capacities to be explained in detail below.

### 2.3.2.1. Points of Entry in Capacity Development

The points of entry are crucial at the time of assessment of assets and needs, where all three dimensions are assessed within the broader enabling environment, including the socio-economic and technological environment for the SMS members in the DOD (Kay et al., 2004:6). The entry is made to access the different capacity levels according to the needs as directed by information gathered in different levels of capacity. Since the DOD is a National Department, the entry point is at the level of enabling environment, where assessment is done on policy, regulatory framework, resources and processes, management, and accountability, including the relationship with other state departments. This is followed by assessment on broader dimensions of SMS in the DOD, including HR processes and organisational structuring that are visible at levels two and three of the DOD organisational structure.

At the individual capacity level, the assessment basically analyses the capacity at which individual SMS members function efficiently and effectively within the other levels, usually appreciating two levels up for accountability, and two levels down for management and control purposes (Department of Defence, 2002c:2). The emphasis is on the role played by SMS members in the required Defence capabilities elaborated on Chapter 1 in relation to the four services (SA Army, SA Air Force, SA Navy, and SA Military Health Services), and supported by the sixteen Divisions that continuously provide necessary support at all levels. The organisational design of the DOD displays a function based on systems thinking, which involves identifying parts within the organisation that add value and ensure the functioning of these parts together as an efficient and effective whole. The pyramid or hierarchy type of the organisational structure of the DOD, illustrated in Figure 2.5 below, shows substantial implications for the strategy, authority distribution, resource allocation, and functional approaches, through which the minister guides the investment of the industry (Parliamentary Monitoring Group, 2019:4).

Figure 2.5 below illustrates the DOD organisational structure during the transformation process of the SANDF post 1994 (DOD, 2019:17).

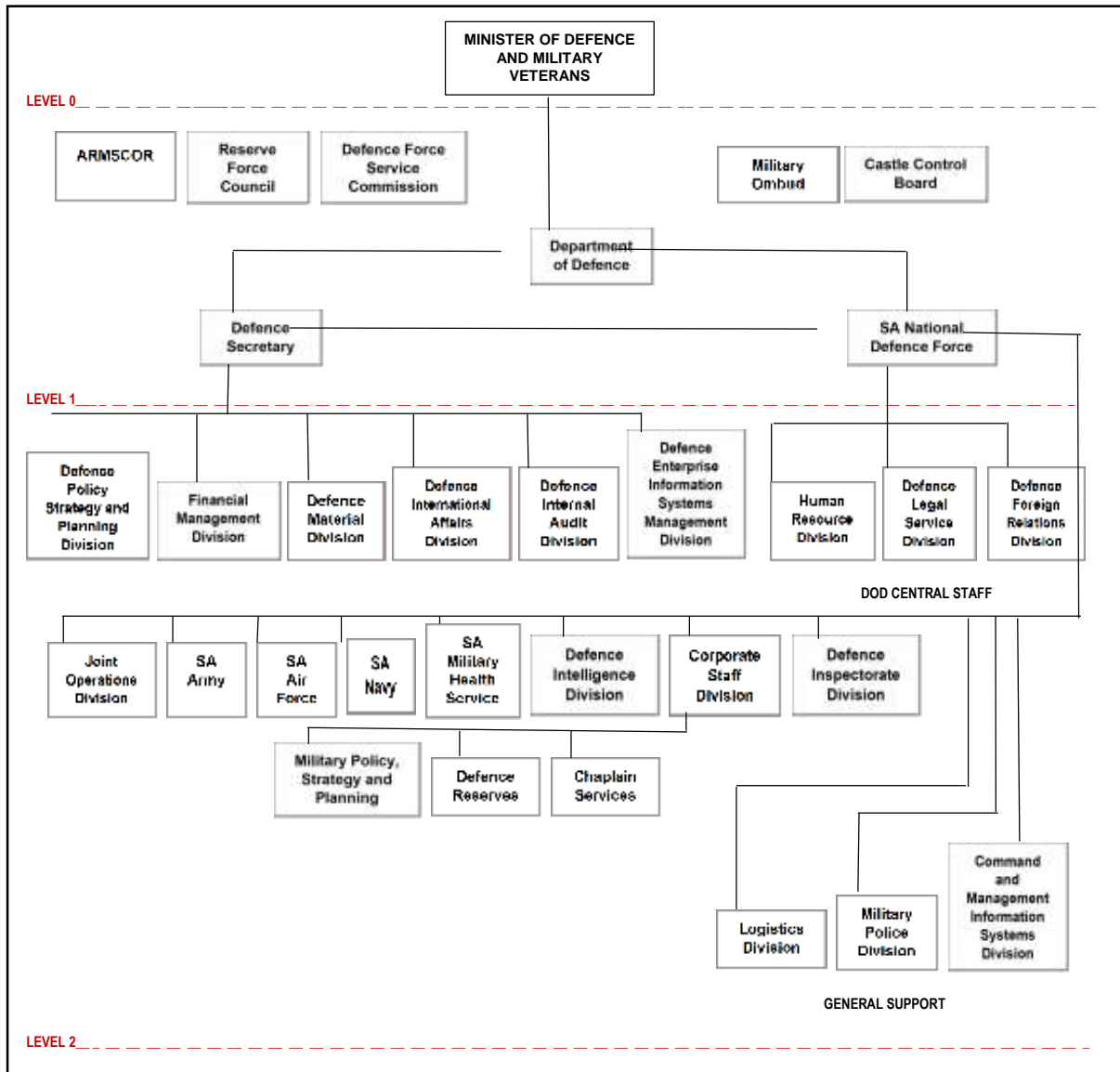


Figure 2.5. DOD Organisational Structure (DOD, 2019:17)

Figure 2.5 above depicts the organisational structure of the DOD post 1994, which directly impacts on the roles and responsibilities of the SMS echelon in the DOD. The organisational structure illustrates three levels of management in the DOD, from level 0 to level 2 strategic operation.

### 2.3.2.2. Core Issues

The UNDP identified four capacity issues (institutional arrangements; leadership; knowledge; and accountability) that are most commonly encountered amongst

different sectors and levels of capacity where most of the changes in capacity occur (Wignaraja, 2008a:11). Capacities together with core issues represent where the capacities reside, are developed and made visible in the framework as they link directly to the management accountability framework (Forgues-Savage & Wong, 2010:1). This implies that different kinds of leadership and management styles are assessed in relation to DOD attributes and are made visible in the capacity development framework for SMS to implement them according to available resources. The following section provides the concept of different core issues in context with capacity development during transformation of the DOD, even though the study will focus only on leadership and knowledge capacities of the SMS in the DOD.

#### 2.3.2.2.1. Institutional Arrangements

When defining institutional arrangements, the UNDP refers to the constitution, policies, procedures and processes of the country that legislate, plan and manage the execution of development and measure changes in the functioning of the state departments (Wignaraja, 2009:13). The human resource system in an organisation reflects the major areas (human resource management, ETD, and career management) with parameters of change that are within the institutional arrangements and are found in all three levels of capacity, as alluded to above. Capacity assessment in this dimension includes actions to ensure that coordination mechanisms are set up and function well; human resource management is guided through uniform and predictable frameworks; monitoring and reporting is used as an instrument for performance enhancement; sufficient motivating factors exist to best utilise current capabilities; and institutions are designed to consult their primary stakeholders (Wignaraja, 2008b:17).

Furthermore, the UNDP (2011:270) describes the institutional qualities (performance, adaptability, and stability) in relation to governance principles (participation, equality, and accountability) as critical elements for developing and implementing effective and equitable policy measures that are sustainable. The incorporation of institutional qualities and governance principles are crucial in the implementation of key systems of the country including, civil service, procurement mechanisms, public finance management systems, and monitoring and evaluation systems for greater impact



during economic crises. Such elements will be dealt with in depth in the coming chapters when investigating institutional attributes of the DOD. However, the DOD as a state department is required to respond by refocussing the delivery on socio-economic needs of SA citizens (DOD, 2020b:19). These needs are prioritised by the government of the day, through better coordination in planning, implementation, and impact assessment.

The DOD has pursued within the department a changed agenda to implement the government's strategic change agenda for the Medium-Term Strategic Framework (MTSF) outcomes, as secondary mandate, while simultaneously continuing with a sustained agenda as the core mandate (Department of Defence, 2012:24). These two complementary yet distinct agendas are aligned and integrated to ensure the attainment of the defence mandate while supporting government priorities in compliance with the Constitution, Defence Act and other applicable legislative frameworks within the strategic management processes, structures, and resources available. This is made possible through accountability and management together with command and control by the SMS, as the Strategic Planning Framework of the DOD is applicable to all Services and Divisions where accountability is upon the SMS members (Parliamentary Monitoring Group, 2019:3).

#### 2.3.2.2.2. Leadership

The UNDP defines leadership as the ability to influence, inspire and motivate people, organisations, and societies to achieve beyond their goals (Wignaraja, 2009:14). Such leadership is characterised by the ability to anticipate, be responsive to and manage change to foster human development. Veldsman and Johnson (2016:169) views leadership and organisation as features that are embedded in the same context where they are regarded as inseparable and dynamic in the sense that one cannot be understood without the other. This emphasises the view that true leadership in an organisation is a critical feature that conceives, actualises and leaves a sustainable future for all to benefit by impacting the success of the organisation where everyone desires to be a leader. Wignaraja (2009:14) reveals that leadership is not synonymous with position of authority, but is always associated with a specific leader in a society

or organisation at both the enabling environment level and the organisational level of capacity.

In a structurally simple context like the DOD, a leader heads up the organisation, requires a two to three years' thinking framework or vision, her or his job targets a single market, a clear and defined clientele type and service, namely defence and security of the citizens and the country; leads the organisation with a single strategic intent, set of policies and standards, work processes and practices, and outputs delivered, and faces slow, incremental, predictable change (Veldsman & Johnson, 2016:172). A leader can be developed through a learning system if some lacking leadership traits are revealed and the individual is given opportunities to practice and instill those traits over time. This implies leadership as an art that may also be acquired through training and practice, and is not limited to those "born to leaders" (Kumar et al., 2014a:7).

The capacity development actions aims to support individuals, groups and communities through leadership programmes to access the knowledge, develop the skills, and utilise the systems that support those leadership traits identified as attitudinally and behaviourally based. Learning system in general, and of the organisation offer critically important targeted leadership development programmes in a combination of training and coaching methods beyond residential classroom type (DPSA, 2011:27). The LDMSF designed by DPSA in collaboration with the National School of Government (NSG) and the Public Service Sector for Education Training Authorities (PSETA) plays a crucial role in addressing the need for development of managers and leaders through Leadership Development Programmes (LDPs). These programmes have evolved into Integrated Management Development Programmes (IMDPs) targeting junior, middle, senior, and executive managers to meet individual and organisational development needs (DPSA, 2008:4). Further discussion on leadership development management for SMS in the broader public service including the DOD will be dealt with in Chapter 3 of the study. The next topic to discuss is knowledge, a core issue in capacity development.

#### 2.3.2.2.3. Knowledge

Knowledge is referred to as the creation, absorption and diffusion of information and expertise towards effective development solutions that are focused on capacity through capacity development (Wignaraja, 2008a:18). Knowledge is developed at individual level of capacity through formal education. It can, though, be stimulated at organisation level of capacity through a knowledge management system or an organisational learning strategy that includes in-service or on-the-job training. At the enabling environment, knowledge is supported by means of effective education systems and policies which provide guidelines on implementation, governance and provision of resources (Wignaraja, 2009:14). It is through capacity development actions that the contribution of knowledge is deepened and expanded by linking the human development needs to the mainstream education agenda that promotes lifelong learning, a best practice to remaining relevant.

The United States National Oceanic and Atmospheric Administration (US NOAA) (Bailey, 2008:4) reveals that leadership competencies are the core knowledge, skills, and expertise that leaders must have to meet their mission responsibilities. This view is not only associated with civilian leaders, but also with leaders in the armed forces, in line with core competencies that are arranged in ascending maturity levels from leading self, to leading others; leading performance and change; leading organisations. Such competencies are expected of SMS members in the SA public sector at large, including the military SMS members. The Public Service Commission Report outlines how the National Development Plan (NDP) defines professionalism in relation to skills and competencies, values and norms, including meritocracy. In meritocracy, leaders are appointed by merit to govern in the organisation, which sums up knowledge, skills and values relevant to the SMS members in the public domain (Public Service Commission, 2018:1). The DOD should, therefore, echo such professionalism to provide services based on the implementation of the NDP Vision 2030 of the country. The next section discusses accountability as one of the core elements of capacity assessment.

#### 2.3.2.2.4. Accountability

Accountability is assessed as the capacity of an individual or organisation to face the consequences for their performance, to take ownership of their actions. This view is supported by Tsafack (2018:4) who defines accountability as a social relationship in which an actor feels an unsolicited urge, or obligation to explain and justify her/his actions. This study supports the view of accountability as a management process that ensures adherence to the set of rules and procedures that promote interactions between an employer and an employee, whereby an employer, such as an SMS member, upholds organisational rules and procedures by behaving responsibly, and regular employees willingly account to supervisors for their actions. With regards to accountability as a management process implemented by members at SMS level in an organisation, the Regional School of Public Administration (ReSPA) (2017:2) explains the concept of managerial accountability in relation to the framework for good public administration, especially for European Union (EU) member states and prospective candidates.

Managerial accountability, for example, plays a critical role in Public Internal Financial Control (PIFC) which is utilised to enhance the quality of public financial management based on international standards of internal control and internal audit. With PIFC, public financial resources are managed according to legality and regularity, transparency and accountability, economy, and efficiency and effectiveness, which encourages decentralisation of authority and responsibility, thus preventing corruption by officials becoming a law unto themselves. Responsibilities are allocated to match authority with sufficient resources to deliver objectives and satisfy performance indicators, such that managers can report how well they carried out their responsibilities. Considerably more accountability on the side of leaders, together with systems that may advance popular demands by the opposition in a democratic country like SA, lead to more effective policy responses that are supported by effective rule of law, hence foster resilience (UNDP, 2011:280).

Furthermore, managerial accountability explains what the responsibility of managers in the organisational structure entails. Taking accountability in any organisation rests upon clarity, governance, and the capacity of the users of information from the

organisation to be at liberty to interpret such information (Veldtman, 2018:32). Wessels (2000:1-2-3) emphasises accountability that challenges the accessed information by promoting careful, well-thought-out decision making. This includes the organisation of administration, openness, and transparency towards stakeholders, the latter being the key role of the SMS members in an organisation. Capacity development strengthens accountability by creating and using space and mechanisms that promote the relationship among stakeholders. Accountable leaders continuously control and manage their actions during engagements. Such actions include capacitating public oversight and arbitration bodies that include, the military ombudsman, and parliamentary management committee.

Accountability stands out as a core value and one of the principles of democratic governance in achieving and maintaining development goals for UN states (UNDP, 2011:279). Accountability is prioritised in the DOD and identified as one of its core values. The DOD upholds the principle of lifelong learning, creating a working space in which all employees seek and share knowledge and relevant information, while committing themselves to personal growth and leading by example to influence others (Parliamentary Monitoring Group, 2019:4). Functional and technical capacities that interlink with entry points and core issues in a capacity assessment framework will be reviewed next.

#### 2.3.2.3. Functional and Technical Capacities

In the dimension of capacity assessment, functional and technical capacities are assessed across all three levels of capacity to address the capacities for transformation. In this regard, the UNDP determines functional capacities as essential management skills utilised to drive the process in capacity development by means of planning, implementing, monitoring and evaluation (Wignaraja, 2009:19). These capacities are relevant across various levels in all sectors where they are utilised to formulate, implement, and review policies, strategies, programmes, and projects in any situation. In this respect, five capacities (capacity to engage stakeholders; capacity to assess a situation and define a vision; capacity to formulate policies and strategies; capacity to budget, manage and implement; and capacity to evaluate) are

identified to follow the similar cycle in capacity development process already discussed and illustrated through Figure 2.3.

Functional capacities are supported by technical capacities in driving development outcomes by technical capacities which relate to areas of expertise, such as specific sectors or entities in an organisation that focus in specific themes. Unlike functional capacities, technical capacities are linked to areas of expertise and practice in a specific sector or theme. They are closely related to the sector or the organisation in focus (UNDP, 2008:37). Technical capacities rise in context, much the same as this current study focuses on HR systems, which will be discussed in detail at a later stage in this chapter. From technical capacity, various trends are observed. The COVID-19 is one such trend impacting occurrence, a pandemic that impacted many activities and trends. Pre-COVID global and national focus of capacity development served as a trend break when the world was in process of dealing with HIV/AIDS, inter alia through recruitment and selection in HR.

In completing the assessment process, all relevant questions are answered on the capacity for why, whom, and what as is discussed in the different dimensions presented as a base for capacity development, even though the current study will only focus on two of the UNDP identified capacity issues, namely leadership and knowledge. The complete assessment process takes place in three steps; Step 1, to mobilise and design, by engaging stakeholders in answering the three questions; Step 2, conduct the capacity assessment, where data is collected on desired and existing capacity; Step 3, summarise and interpret results, by comparing desired capacities against existing capacities which consequently leads to the formulation of a capacity development response.

### 2.3.3. Step 3: Formulate a Capacity Development Response

The core issues discussed under assessment of assets and needs have a direct impact on the formulation of a capacity development response as its initial point. The UNDP (2008:7) defines a capacity development response as a collection of capacity development actions that address one or more of the capacity development core issues by combining capacity development actions from more than one core issue.

Initially, at this point, a capacity development response is to be defined based on the outcome of capacity assessment and core issues specified for development by using Supporting Tools, such as a human rights-based approach, and having gender equality embedded in all core issues identified to reflect the apparent gaps and priorities. The process starts from capacity assets, which are available resources, then capacity needs which indicate impact time frame and associated cost implications for the shorter-, medium- and longer-term. Starting with available resources before responding to identified needs, is a good strategy since resources are directly linked to the budget. Furthermore, it is understood that budget limitations can have a huge impact on the success of any project, and may also be a barrier in all stages of capacity development up to the last stage, of evaluation (Auriacombe, 2011:39).

Following this process is defining the indicators, which are captured in the Supporting Tool for short- and medium-term capacity deviations that come together to form capacity development response as the baseline for capacities and target over a specific period (UNDP, 2008:33). Some intervention programmes are for a short period of time and do not need many resources even though they have good impact. These programmes are prioritised, starting with the baseline data for short-term, followed by those for medium-term, then the longer-term programmes with relevant milestones. Such indicators measure outputs according to their projections, and the impact is indicated in outcomes for longer-term programmes. The process for defining indicators should be made visible in strategy documents of the DOD throughout the transformation period (Veldtman, 2018:165).

The last step in defining the capacity development response is to capture activity-based costs which are calculated separately. The amounts are captured in the Supporting Tool through, for example, a computer-based capacity management tool checklist. The process is done with the stakeholders to encourage them to be realistic in funding the capacity development responses for successful implementation. This activity also assists in identifying when there will be or are insufficient funds in time for reprioritisation and for exploring other options. It therefore becomes a continuation of priorities set during the design of capacity assessment and validation of results. The

success of the costing depends on full participation by all stakeholders, something which might be politically influenced, more so at the senior management level.

#### 2.3.4. Step 4: Implement a Capacity Development Response

The implementation of capacity development takes place according to the projects identified for intervention during assessment and formulation of capacity development response. Implementation runs step by step throughout the project. However, the success of the project is effective if it is incorporated in the HRD plan for allocation of budget and related resources, visible in the annual plan, and effectively monitored and evaluated. It is very crucial during implementation to consider issues related to political dynamics, the relationships in managing change processes, and continuous monitoring for relevance and accurate implementation of corrective measures at the right time (UNDP, 2008:15).

The implementation of capacity development response in designing capacity development programmes for the DOD is confronted by several challenges. These challenge relate to requirements for qualified facilitators, assessors, moderators, and programme designers that are quality assured by the South African Qualifications Authority (SAQA). These capacity development programmes are required to strengthen the base of local experts by complying with requirements of the National Qualifications Framework (NQF) and SAQA (Department of Higher Education and Training, 2011:no pagination). Managers who understand and apply systems thinking, know very well that implementation cannot be affected in isolation, but together with monitoring where it is directed at development by those who intend to do so. The continuous monitoring system which is incorporated in the programme plan is the key to effective and efficient implementation of capacity development response.

#### 2.3.5. Step 5: Evaluation of Capacity Development

Evaluation of capacity development focuses on outputs that are a product of monitoring the processes that change inputs to outputs. Outputs play an important role in the achievement of the outcomes of any programme. Achievement of outcomes end the process through indirect impact on development objectives. According to Auriacombe (2011:50), this process is adopted by state departments where it is used



as part of a performance management system that is uniform in the public service. The study developed the capacity development framework to bring understanding of accountability documents that address performance indicators, and the impact on performance by capacity development intervention programmes. Furthermore, the UNDP (2008:15), in addition to performance management, includes accountability and learning. Progress and results in capacity development are reflected by changes in performance measured against efficient and effective impact. It is understandable that, even though it is much easier to identify and capture outputs, there are challenges in linking capacity development with impact as achieving impact is not a straightforward, linear and traceable route. During evaluation, the inputs are critical factors that contribute to impact, and these inputs may be measured against the output of the project or the programme. As stated above, capacity development also focuses extensively on the development of HR of an organisation. Subsequently, the next topic deals with HR in general, and in the Public Service in particular.

## 2.4. HUMAN RESOURCE IN GENERAL AND THE PUBLIC SERVICE

### 2.4.1. Horizontal and Vertical Alignment to Human Resource Systems

Gerhart (2019:317) defines HR management as a system that focuses on the processes and policy decisions of employment that involves selection, development, training, compensation, and work design that influences organisational effectiveness. It is realised that HR management research has evolved beyond individual analysis. There exists a link between HR practices and effectiveness at all levels, including cost, production, and quality of service, linked to total shareholder return, profitability, and even organisational survival. This shift has led to different combinations of individual HR practices being dependent as contextual factors which are linked to organisational strategy. This comparison continues to be tested scientifically to address issues of horizontal (internal) and vertical (external) fit in the HR systems. Gerhart (2019:318) further asserts that HR systems have brought a broad perspective of policies for staffing, job design, and other HR practices that are influential in terms of the effectiveness outcomes of intermediate employment, such as ability, motivation,

attitudes, and performance, which in turn are influential of business performance outcomes. When looking at performance work systems, Gerhart makes use of AMO theory, a basic theory for performance expressed in a formula as  $P = f(A, M, O)$ , where P represents performance, A represents ability, M represents motivation, and O represents opportunity (Gerhart, 2019:321).

Based on the formula, the effectiveness of these components contributes directly to the effectiveness of the HR systems, implying that the effectiveness of each component in an individual's decision-making in her or his job impacts directly on corporate or organisational effectiveness, thus eventually, the individual's job satisfaction. The UNDP (2011:271) regards institutional performance as the foundation of state capacity to function and fulfil its obligations towards its citizens by means of excellent service delivery. In this regard, resilience is realised when institutional performance is coupled with adaptability and stability as the institutional qualities. Furthermore, when institutional qualities are brought together with governance principles (participation, equality, and accountability), they become mutually supportive in formulating and implementing anti-crisis measures in the resilient country. In this case, principles of governance set the overall enabling environment and drive the capacity of the institution to perform better, while the effective institutional qualities adapt to changing circumstances, and sustain results and efforts. This has shown to be true with countries that presented resilience not only in economic recovery during the shock of the COVID-19 pandemic that struck the whole world, but also in their human development that has advanced beyond income average. Human development has evolved from the MDGs to Sustainable Development Goals (SDGs) (UNDP, 2019:6).

This high-performance outcome is made possible by effective HR practices and policies that effect ability, motivation, and opportunities. Selection, training and development policies, for example, effect ability, while job design and job analysis determine opportunity, whereas compensation and employee selection, participation and accountability effect motivation (Gerhart, 2019:321). Such an exercise demonstrates the alignment of horizontal and vertical HR systems, from which Gerhart (2019:321) deems it crucial to observe the dominance of horizontal fit as it provides better influence than vertical fit. Against this background the study will look at the HR

in the public service, where HR systems and policies are designed to provide resilience, stability, and adaptability.

#### 2.4.2. Human Resource in the Public Service

Van der Westhuizen (2016:4) refers to human resource in the public service as the key assets whose empowerment through job security, personal growth, career advancement and fair treatment is a key to the success of public institutions. In this regard, the success of public institutions means being effective, efficient, and economical in their endeavour to achieve institutional goals through service delivery. This becomes possible when specific services from a particular HR office cause all stakeholders to be satisfied with quality of services at reasonable cost. This also implies that success in the Public Sector depends on HR being instrumental in accelerating developmental priorities and understanding the constitutional values that encourage innovation in the execution of daily tasks (Republic of South Africa, 1996). To ensure success in the Public Service, the SA government categorised HR management into three managerial levels: 1) the operational (first line supervisors and junior managers); 2) tactical (middle managers); 3) strategic (senior managers) that play a crucial role in making sure that measures are practised (van der Westhuizen, 2016:6). The DOD, in turn, categorises military managers (leaders) from lowest to highest level as tactical, operational, and executive (DOD, 2017a:no pagination).

The strategic level of managers is where the SMS resides in the hierarchy. It refers to the Director General (DG), Deputy Director General (DDG), Chief Directors (CDs), and Directors (Ds) in the public sector (DPSA, 2001:no pagination). The same applies to their counterparts in the SANDF in which senior officers are denoted according to the rank structure as the General/Admiral, Lieutenant-General/Vice-Admiral, Major-General/ Rear-Admiral, and Brigadier-General/Rear-Admiral (Junior Grade). The DOD regards these two categories of senior managers as SMS that encompass senior military professionals, managers and persons in statutory professions serving the SANDF of the DOD (Department of Defence, 2002b:2). At this level, the appointment of HR relies on a choice of government system employed between patronage and merit systems, as they have a direct effect on the responsibility, accountability, and responsiveness to the job. Van der Westhuizen (2016:9) observes that the

appointment that is based on patronage occurs based on political and career interest. Even though the rules on merit are followed, they tend to be superseded by political or personal networks, rather than qualifications and relevant experience. Conversely, the appointment on merit system is straight forward and follows all the rules for procurement and recruitment selection, is dominated by formal qualifications and relevant experience within political neutrality and protection from subjective treatment. Appointments in the Public Service, whether based in patronage or merit, are mandated by two key legislations that deal with responsible and accountable HRM including, the Public Service Act (PSA) and the Public Finance Management Act (PFMA) applicable to all government institutions.

Furthermore, Van der Westhuizen (2016:52) argues that public managers at strategic management level are faced with the pressure of coping with challenges beyond day-to-day management tasks that encompass the transfiguration of the HR functions from transactional to transformational. The PMG report (Parliamentary Monitoring Group, 2019:6) on evaluation of the Defence Review reveals that there were no policy regulating matters for Defence before 1994, a challenge that led to the development of the Defence Review since 1998. At all times, the SMS in an institution like the DOD must keep a balance between the three components of strategic management that include, institutional strategy, business strategy, and HR strategy, while formulating, integrating, and implementing strategies. The process of policy making, organising, financing, and controlling serves the success of the institution by having a long-term and collective focus within a changing and competitive environment. Contrastingly, the success of strategic management follows a three-phased process: 1) the strategic formulation for environmental analysis; 2) the strategy implementation for execution; and 3) strategy control for monitoring progress and provision of feedback. Taking into consideration that strategic decisions are influenced by logical and objective approaches of managers and also by political influence, it is crucial at the strategic management level to operate with a mind focused on basic values, knowing that the socio-organisational side is very influential. Next, Human Resource Development (HRD) is discussed as part of the HR function.

### 2.4.3. Human Resource Development and Capacity Development

HRD is viewed as an integral part of HR function of an organisation that deals with the development of HR through training and experiential learning (Department of Defence, 2011:no pagination). Section D of the Public Service Regulation (DPSA, 2001:no pagination) emphasises training opportunities for subordinates by supervisors, and their providing control according to the training plan of the DOD, as the education and training of the country focuses more on learning than training. The regulation does not say much about the training and development of senior managers, which justifies their lack of participation in capacity development programmes. It was only in 2016 that a Public Service circular was issued to address decisively the need for state institutions to report annually on the participation of SMS members in professional development training for a minimum of eighteen days over a cycle of three years (DPSA, 2016:no pagination). This way the benefits acquired by all Public Service employees from the National Skills Fund would not exclude the senior managers in public institutions.

Van der Westhuizen (2016:333) indicates that leadership, HRM, and HRD are among the issues identified as challenges in paving a sustainable and effective future for the Public Service in SA. This is proven to be true by the Round Table Report on the Professionalisation of the Public Service, which spells out the purpose of the Public Service concerning HRD and capacity development. Transformation promotes service excellence and effective HRM based on constitutional values and principles that govern this institution (Public Service Commission, 2018:1). In this case, the institution is defined by implicit social rules and norms that structure people's behaviour within the organisation in which individuals are trained to shape their professionalism at the organisational capacity level. According to this report the importance of recruitment of SMS members based on experience and expertise cannot be overemphasised. This practice should be coupled with the development of skills and expertise of the middle management service (MMS) members for the current and future public service. Otherwise, the future is condemned to be as disappointing as the present or the past if the current systemic deficiencies are not corrected now.

According to Czarnecki (2018:35), environmental changes affect HR practices emanating from recruiting talent, job changes and generational differences at work,

and career and development expectations leading to investing more in training to prepare already existing officials for leadership positions through a well-focused curriculum. When designing a curriculum, external environmental factors, such as increased globalisation, changes in the skills gap, and technology are considered and assessed over a period of time. Such external factors may be rated categorically as both complicated, complex, and chaotic environments, according to different levels at which SMS members operate in the department, or tactical, operational, and strategic level. While considering a curriculum that addresses questions related to what a nation state requires of its military leaders at various levels of leadership, one must investigate military strategy and policies of the department, whether they correlate with professionalism in the public service.

There is a direct mutual link among respective systems of HR in that, HR training policy and practices are directly influenced by characteristics of internal organisational contexts, including important institutional factors such as, technology, intensity, strategic objectives, and culture. Furthermore, the performance positioning of the organisation of the country, either at the National, Provincial or Local Government level, directs the kind of decisions to be made when it comes to leadership and organisational decision-making. The desired attributes for leaders, as captured in subjects for instruction in Professional Military Education (PME), replace the core of the DOD enhanced structure which deals with professional competency areas that address leadership and management of DAP and PSAP, namely, lead, think, plan, act competently, and act ethically (Czarnecki, 2018:36). These attributes are analysed in the current study as they are found throughout in the military and public service and discussed in more details in the next chapter. In an endeavour to transform the Public Service, the DPSA identified the SMS echelon as the dynamic leadership acumen that can steer transition within the developmental state on the way they manage and develop HR through public service training, development programmes and institutions (DPSA, 2011:no pagination).

## 2.5. CONCLUSION

This chapter offered a descriptive review of literature that clarified the key concepts of the research topic, SMS, and capacity development. There are not many researched

sources that could define SMS other than the Public Service handbook and reports of the commission, which based the definition of SMS on their roles and responsibilities in the public service. Sources that define capacity development offered capacity development as central to HRD. Capacity development should be the primary focus within each directorate in the DOD.

The realisation that capacity development is a long-term process that can be achieved through a combination of shorter-term results driven from external influences that involve environmental scanning. The longer-term results therefore, become the output of internal processes that require adherence to the capacity development process as discussed in this chapter. The comprehensive approach promoted by integration among the levels of capacity enhance the development of capacity beyond individual skills and training, to the level of institutional change, leadership, empowerment, and public participation by customers in the public service. Much information, among others, components of capacity development, were obtained from the UNDP. These sources emphasised capacity levels that are critical when it comes to addressing the capacity deficit in fragile state departments. It also revealed the interplay between them as entry points and core issues, including functional and technical capacities.

Though the DOD does not show signs of fragility, as will be proved in the next chapter, there is a need to act preventatively by developing SMS capacity to work harmoniously to promote the effective and efficient performance of the organisation and individuals. The DOD has a primary responsibility to organise stakeholder consultations for building capacities, generating and managing development results, adapting, and renewing strategy and policies based on trends and new developments, while establishing supportive relationships. The consulted sources in this chapter demonstrate that ETD may be a solution in achieving better performance and other HR problems that might exist. However, assessment of capacity development should be done in all capacity levels following all due processes to get to the core of the problem, because not all problems can be solved by simply increasing knowledge, skills, and competencies.

Part of an overview for the development of a framework was discovered from the sources analysed in this chapter. Additional literature on public service and DOD legislation, policy, and mandates will be reviewed in the next chapter.



## CHAPTER 3: LITERATURE REVIEW: PUBLIC POLICIES ON SMS DEVELOPMENT

### 3.1. INTRODUCTION

This chapter explores policies and guidelines utilised in the DOD to enhance participation of SMS members in programmes related to capacity development and the availability of resources therefore. Having first explored the literature on key words of the topic in chapter two, the study then investigated the attributes of SMS members in the context of developed and developing countries, especially those the DOD benchmark with the West, Africa and member states of the Southern African Development Community (SADC). In addition to SMS attributes, this study investigated the impact Competency-Based Management has on capacity development of SMS members through the academic research conducted in countries listed for benchmarking in the DOD, including the African continent, and Western and European countries. Areas in capacity development of SMS, for both DAP and PSAP are also investigated in this chapter in relation to the impact they have in defence forces, especially those that have undergone regime change in Africa in general and the SADC region in particular.

### 3.2 THE ATTRIBUTES OF SENIOR MANAGEMENT SERVICE MEMBERS

This study observes that Human Resource (HR) practices are the backbone of every organisation. It plays a pivotal role in ensuring that good legislation and national prescripts are followed and conform to the transformation of recruiting, staffing procedures, including training, education, and development of SMS members. Among the HR processes mentioned earlier is a competency profile, the process utilised to identify the knowledge, skills, abilities, attitudes and judgement required for effective performance in a particular occupation or profession. It is important to reflect competency profile accurately as current practice (DPSA, 2006:4). Forgues-Savage and Wong (2010:2) define a competency profile according to its utilisation in the Canadian Public Service as a document that describes the set of competencies particular to a job, position, occupational group, or functional community in which competencies are defined in association with behaviours that are linked to strategic

objectives. The competency profile is utilised in the SA public service, much as in Canada to synthesize knowledge, skills, attributes, and values of individuals, while on the other hand assists employees and managers to focus on identifying and clarifying individual learning needs, and developing approaches to fulfil those individual learning needs. The competency profiling brings compliance to the Public Service Act of 1994 as amended, which requires that the appointment of a person in the public service should be complete only when the candidate is evaluated on training, skills, competence, knowledge, and the need to redress the imbalances of the past (DPSA, 2014:no pagination).

According to the Public Service Regulation (Department of Public Service and Administration, 2019:no pagination), a competence is defined as a blend of knowledge, skills, behaviour, and attitude that the person utilizes in performing her or his duties and managing self-development. This definition includes the consensus that exists in all definitions, as it refers to a set of patterns displayed by an individual to perform effectively and efficiently in her or his position (DPSA, 2010:no pagination). This definition also depicts underlying characteristics that are common in some definitions which identify competence as part of a person's personality, such that it is easy to predict a person's behaviour in a job by understanding that person's competence. Such characteristics are differentiated into five categories, among which are elements of attributes displayed in Table 3.1 below.

Table 3.1: Competence Characteristics Displaying Attributes (DPSA, 2006:4)

		<b>Competence Character</b>	<b>Description</b>
Attributes	}	Motives	What it is that drives a person or what one thinks about?
		Traits	Physical characteristics and constant response to the situations.
		Self-Concept	A person's attitudes, values, or self-image.
		Knowledge	The information a person has on specific topics or areas.
		Skills	The ability to perform a specific task.

The attributes demonstrated in Table 3.1 as motives, traits, and self-concepts show those characteristics that are more personal and unique to individuals. It allows institutions to identify individuals who are more prominently inclined to work effectively in more complex jobs for superior performance, like senior managers. In relation to these attributes, Archbishop Tutu (2002:622) describes leadership attributes with regards to the behaviour leaders such as Nelson Mandela, Dalai Lama, and Mother Teresa displayed as authentic leaders to attract followers. He identified these attributes as goodness, credibility, solidarity, selflessness, affirming, courageous, intuition, and compromise as some of the characteristics found in celebrities, like pop stars who are good in attracting followers, even though the pop stars might not display the same traits as these icons (Tutu, 2002:622).

Attributes assigned to SMS office bearers, constitute those inner personal qualities enshrined in the SA Constitution, and the DPSA generic competencies for all SMS members that communicate government expectations from the SMS echelon. The generic competencies<sup>2</sup> differ from the functional or technical competencies that are specific to a particular department or an SMS post as they communicate what is expected of the SMS to perform from what they possess (DPSA, 2003:no pagination).

<sup>2</sup> Competencies and competences will be used interchangeably

The Public Service leadership attributes are clustered into overarching categories to demonstrate personal character through integrity and honesty; setting direction and vision and attracting followers; mobilising individual commitment; and engendering organisational capability based on what a leader should need to be, to know, and to do, (DPSA, 2008:7). This concept is adopted by the DOD to balance education, training, and development, inclusive of the experience acquired from the understanding of the difference between ETD and experience, and the need for both (Department of Defence, 2014:11-5). Furthermore, the focus on what the DOD leader needs to be, to know, and to do, provides a balance between knowledge and skills with functional experience and sound military ethos. The DOD presents this concept schematically to demonstrate the balance between these leadership elements between what the leader aspires to be, to know, and to do at senior management. Figure 3.1 below illustrates the balancing in education, training, and experience in the DOD.

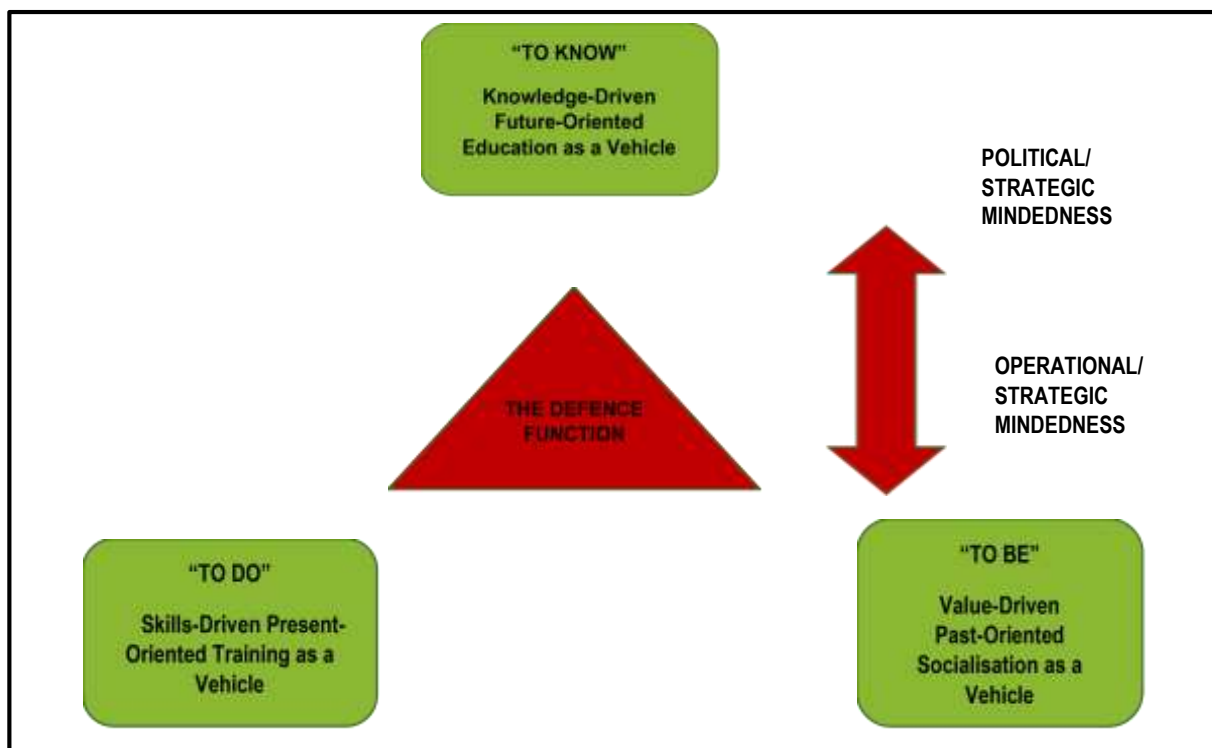


Figure 3.1: Balancing Education, Training, and Experience (Department of Defence, 2014: 11-5)

According to Figure 3.1 above, the balance between ETD and experience is highly influenced by the politics of the country as the DOD functions under civil rule, with the President of the country being the Commander in Chief of the SANDF, the Minister of

Defence, and the Sec Def having to promulgate policies aligned to civil rule, which will have a direct effect on the leader's mind-set. This illustration talks directly to the overarching categories mentioned earlier in addressing the three different elements of the strategic leadership: "to be" (based on the history of the defence force as a recognised institution for leadership in SA where leaders are orientated on diversity management); "to do" (leaders are skilled to enhance their emotional, social, and cultural intelligence); "to know" (future DOD leaders are equipped to recognise their own and others' emotional responses to manage social relationships, discerning the difference in situations for accurate, effective response). The key elements of leadership attributes are derived from the five levels of core competencies, a summary which is demonstrated in Table 3.2 below.

Table 3.2: Core Competencies to Constitute Leadership Attributes (DPSA, 2010:no pagination)

Serial	Leadership Levels	Core Competencies	Description
1	Managing Self	Integrity/Honesty	Behaves in an honest, fair, and ethical manner. Shows consistency in words and actions. Models' high standards of ethics.
		Interpersonal Skills	Treats others with courtesy, sensitivity, and respect. Considers and responds appropriately to the needs and feelings of different people in different situations.
		Continual Learning	Assesses and recognises own strengths and weaknesses; pursues self-development.
		Resilience	Deals effectively with pressure; remains optimistic and persistent, even under adversity. Recovers quickly from setbacks.
		Oral communication	Makes clear and convincing oral presentations. Listens effectively; clarifies information as needed.
		Written Communication	Writes in a clear, concise, organised, and convincing manner for the intended audience.
		Flexibility	Is open to change and new information; rapidly adapts to new information, changing conditions, or unexpected obstacles.
		Problem Solving	Identifies and analyses problems; weighs relevance and accuracy of information; generates and evaluates alternative solutions; makes recommendations.

Serial	Leadership Levels	Core Competencies	Description
2	Managing People	Human Capital Management	Builds and manages workforce based on organisational goals, budget considerations, and staffing needs. Ensures employees are appropriately recruited, selected, appraised, and rewarded. Takes action to address performance problems. Manages a multi-sector workforce and a variety of situations
		Leveraging Diversity	Fosters an inclusive workplace where diversity and individual differences are valued and leveraged to achieve the vision and mission of the organisation.
		Conflict Management	Encourages creative tension and differences of opinions. Anticipates and takes steps to prevent counter-productive confrontations. Manages and resolves conflicts and disagreements in a constructive manner.
		Public Service Motivation	Shows a commitment to serve the public. Ensures that actions meet public needs. Aligns organisational objectives and practices with public interests.
		Developing Others	Develops the ability of other officials to perform and contribute to the organisation by providing ongoing feedback and by providing opportunities to learn through formal and informal methods.
3	Managing Projects	Team Building	Inspires and fosters team commitment, spirit, pride, and trust. Facilitates cooperation and motivates team members to accomplish group goals.
		Customer Service	Anticipates and meets the needs of both internal and external customers. Delivers high-quality products and services.
		Technical Credibility	Understands and appropriately applies principles, procedures, requirements, and policies related to specialised expertise.
		Accountability	Holds self and others accountable for measurable high-quality, timely, and cost-effective results. Determines objectives, sets priorities, and delegates work. Accepts responsibility for mistakes. Complies with established control systems and rules.
		Decisiveness	Makes well-informed, effective, and timely decisions, even when data are limited, or solutions produce unpleasant consequences. Perceives the impact and implications of decisions.
		Influencing/Negotiating	Persuades others. Builds consensus through give and take. Gains cooperation from others to obtain information and accomplish goals.
4	Managing Programs	Technology Management	Keeps up to date on technological developments. Makes effective use of technology to achieve results. Ensure access to, and security of, technology systems.

Serial	Leadership Levels	Core Competencies	Description
		Financial Management	Understands the organisation's financial processes. Prepares, justifies, and administers the program budget. Oversees procurement and contracting to achieve desired results. Monitor's expenditures and uses cost-benefit thinking to set priorities.
		Creativity/Innovation	Develops new insights into situations; questions conventional approaches. Encourages new ideas and innovations. Designs and implements new or cutting-edge programs/processes.
		Partnering	Develops networks and builds alliances. Collaborates across boundaries to build strategic relationships and achieve common goals.
		Political Savvy	Identifies the internal and external politics that impact the work of the organisation. Perceives organisational and political reality and acts accordingly.
5	Leading Organisations	External Awareness	Understands and keeps up to date on local, national, and international policies and trends that affect the organisation and shape stakeholders' views. Is aware of the organisation's impact on the external environment.
		Vision	Takes a long long-term view and builds a shared vision with others. Acts as a catalyst for organisational change. Influence's others to translate vision into action.
		Strategic Thinking	Formulates objectives and priorities and implements plans consistent with the long-term interest of the organisation in a global environment. Capitalises on opportunities and manages risks.
		Entrepreneurship	Positions the organisation for future success by identifying new opportunities. Builds the organisation by developing or improving products or services. Takes calculated risks to accomplish organisational objectives.

The depiction in Table 3.2 demonstrates the different categories of twenty-seven core competences from the five levels of leadership attributes identified by the public services. The description of these core competencies is explained well from a leadership perspective by the director of the US National Oceanic and Atmospheric Administration (NOAA). Officers in advanced leadership positions have to meet the standard set for NOAA Senior Executive Service (SES) based on thirty distinguishable leadership competencies (Bailey, 2008:3). But, different from the SA context where the core competencies for military leaders follow a different path from that of the civilian counterparts, in the US approach core competencies for the SES in government follow the same path as determined by the Office Personnel Management (OPM) with the expectation that they have to meet the same core leadership competencies. In line with these leadership attributes, the DOD value systems comprising beliefs, traits and

behavioural norms are expected from the individuals when conducting the DOD functions in pursuing the DOD strategic vision. The value systems of the DOD are submerged in organisational values that are rooted in individual values, codes of conduct (DAP and PSAP), code of ethics, and in unit cohesion as a strength of the DOD (Department of Defence, 2012:17).

The Constitution of the Republic of South Africa (RSA) is the highest order policy from which all legislations, statutes and policies are derived. Hence, both the DPSA, DHET, and the DOD prescripts and policies utilised throughout the study as guiding documents cannot overrule the Constitution, but may simplify aspects thereof. The alignment, therefore, of the constitution, legislation and government's priorities are reflected in the mission and vision statement of the department through the DOD mandate (Department of Defence, 2012:16). Meanwhile the Constitution provides a national imperative for Human Resource Development (HRD) through ETD, which states its objective to "*improve the quality of life of all citizens and free the potential of each person*" (Republic of South Africa, 1996). Therefore, HR is regarded as the most important asset of the organisation, especially when it comes to leadership in a defence force in which leaders like Moses, Shakespeare, and Sun Tzu are regarded as leadership gurus whose styles are read, imitated, and taught as a set of skills that can be acquired throughout an official's career (Kumar et al., 2014b:no pagination).

This implies that policies developed for SMS members in line with the constitution promote that DOD senior management will be optimally educated, trained, and developed in the interest of individuals, the organisation, and the broader public service (Daniels, 2019:4). The issue focused on by Andersen (2006:100), a retired member of the DOD refers to an educated person in the defence force as an officer who takes her or his work seriously by studying everything about it and puts into practice everything learnt to make a difference in the life of an individual, the organisation, and the people around her/him in society. This statement on its own embraces what the Constitution of the country mandates the state institutions i.t.o. HRD.

And yet the report of the Public Service Commission (2008:8) in deliberating on professionalisation of the Public Service, embraces the values and principles in



Chapter 10 of the Constitution stating that the Public Sector has to offer professional service to citizens through public servants with the necessary competences and experience. According to this report, public servants are in principle officials who strive for excellence in performance and adhere to standards and values that underpin the profession (Public Service Commission, 2008:8). This does not only refer to professionals like, teachers, nurses and doctors, but also includes military professionals and their civilian counterparts in the DOD. Even though the report distinguishes military professionalism from that of civilians based on their unique expectations that include duty, loyalty, integrity, courage, and honour. Furthermore, this report defines professionalism based on the skills and competences, values and norms, code of conduct, and meritocracy, which sums up knowledge, skills, and values alluded to in the National Development Plan (NDP). Hence, the DOD should echo professionalisation in the Public Service to deliver on promises made in the Constitution and the NDP, in which training and development programmes are based on curricula that talk to the NDP Vision 2030 (National Planning Commission, 2012: no pagination).

Similarly, Naidoo (2006:3) alluded to the need for senior managers in the public service and state institutions to be expected to display high management and leadership skills, coupled with being generally multi-skilled to face the complex and demanding environment in the 21<sup>st</sup> century. This view emphasises the need for developing critical generic competencies for the SMS as captured in the SMS handbook (DPSA, 2003:8) and emphasised in the directive for National implementation framework towards the professionalization of the Public Service (National School of Government, 2020:66). These prescripts set out the conditions and the roles of employment of the SMS. However, the particular operational objectives of the DOD demands generic competencies for DAP SMS members that are more functional and technical to deal with extraordinary responsibilities for military officials as opposed to those required of civilian counterparts for example, competencies which are more generally relevant to PSAP SMS roles in the broader public service. Table 3.3 below illustrates a comparison between generic competencies for DOD DAP and PSAP.

Table 3.3: DAP and PSAP Generic Competencies (own table)

Serial	DAP Criteria	PSAP Criteria	Description
1	Understanding Strategy	Strategic Capability and Leadership	Provides a vision, set the direction for the organisation, and inspires others to deliver on the organisational mandate.
2	Leadership	Leadership	Ability to control, lead and motivate subordinates and manage resources to reach stated organisational goals effectively. This includes the ability to manage and display leadership in increasingly complex management situations.
3	None	Management	Ability to plan, organise and manage resources at the operational and military strategic level, and multinational level.
4	None	Programme and Project Management	Plans, manages, monitors, and evaluates specific activities to deliver the desired outputs.
5	None	Financial Management	Compiles budgets, controls cash flow, institutes risk management and administers the tender procurement process by following generally recognised financial practices to ensure the achievement of strategic organisational objectives.
6	None	Change Management	Initiates and supports organisational transformation and change to successfully implement new initiatives and delivery commitments.
7	None	Knowledge Management	Promotes the generation and sharing of knowledge and learning to enhance the collective knowledge of the organisation.
8	Excellence Orientation	None	The need and ability to persevere to achieve excellence in all tasks without being externally motivated.
9	None	Service Delivery Innovation (SDI)	Explores and implements new ways of delivering services that contribute to the improvement of organisational processes to achieve organisational goals.
10	Planning and problem solving	Problem Solving and Analysis	Systematically identifies, analyses, and resolves existing and anticipated problems to reach optimum solutions in a timely manner.
11	Discipline and culture	None	Ability to demonstrate military and defence civilian code of conduct, values, and practices. Takes ethical decisions and contributes to military disciplinary actions in accordance with the military disciplinary code and rule of law.
12	Decisiveness	None	Ability to make quick, logical, good quality, sometimes even unpopular decisions despite a lack of information or clear direction when under extreme operational and/or environmental stressors.
13	None	People Management and Empowerment	Manages and encourages people, optimises their outputs, and effectively manages relationships to achieve organisational goals.
14	Intra-/interpersonal skills	Intra-/interpersonal skills	Ability to understand and control own emotions and reactions, and the ability and willingness to work and direct as part of a team to achieve organisational goals.

Serial	DAP Criteria	PSAP Criteria	Description
15	None	Client Orientation and Customer Focus	Be willing to and in fact deliver services effectively and efficiently to put the spirit of customer service (Batho Pele) into practice.
16	Communication skills	Communication	Exchange information and ideas in a clear and concise manner appropriate for the audience to explain, persuade, convince, and influence others to achieve the desired outcomes.
17	None	Honesty and Integrity	Displays and builds the highest standards of ethical and moral conduct to promote confidence and trust in the Public Service.
18	Resilience	None	Ability to remain focused, composed, and optimistic in difficult situations.
19	Critical thinking	None	Ability to use creative and critical thinking skills to monitor and analyse complex situations.

Table 3.3 above depicts the different generic competencies between DAP and PSAP SMS officials in the DOD. Both categories demonstrate eleven generic competences that talk to different areas in management and leadership skills. Even though the generic competencies of the DOD are meant to apply to all DOD military officials, these competencies are emphasised on leadership and management skills which links them to those of the SMS in the broader Public Service, yet they are unique. Conversely, the DOD competencies do not include knowledge management, a requirement that is well covered in stated competencies in the Canadian Public Service based on the understanding that knowledge is the key element of all educational qualifications, regarded as the analogue of skills applied in the job (Forgues-Savage & Wong, 2010:2). This implies that knowledge applies to all levels as a standard for training and development. These competencies are linked to the strategic objectives and capabilities of the organisation and may be applied to all HR areas, including training and development, performance management, talent management, and succession planning.

It is important to note that another approach could have been to do the study from a talent management perspective. In this way, one would typically address the individual's skills and abilities that he or she can contribute to the organisation, as Musakuro and de Klerk (2021:2) concludes: "employees with 'talent' contribute and make an impact on the strategic aspects of the organisation." It also contributes to the productivity and sustainability of government institutions (Barkhuizen & Gumede, 2021:10). Musakuro and de Klerk (2021:3) further emphasise that the topic of talent

management gets significant attention globally in both theory and practice and that organisations gain a competitive advantage when they develop their talent. Hence, the focus on capacity development is also a focus on talent management in general and more specially on talent development. However, the limitations in terms of time and space (length of master's study) necessitated a more focused approach and in line with the applicable terminology which is in this instance 'capacity building' as required by the identified research problem. Talent management *per se* is thus beyond the scope of this study.

It has been realised that identifying the competencies in the HR function may pave a way for deriving the competencies for the different functional work areas which lead to a description of the indicators or sub functions expected from employees (Latkovikj & Popovska, 2019:6). Relating these views by Latkovitj and Popovska (2019), the public service has identified five major, functional work areas in HR that may be analysed as well as the smallest work units where specific functional or technical competencies are defined. Such functional areas include HR organisational strategy, HR practices, HR utilisation and development, employee health and wellness, and labour relations, areas which are classified into two types of competencies, those behavioural and functional, and those technical (DPSA, undated). The next topic addresses the implementation of competence-based management in the DOD.

### 3.3. IMPLEMENTATION OF COMPETENCE-BASED MANAGEMENT

The DPSA (2010:no pagination) defines Competence-based management (CBM) as the vehicle utilised by the state to understand workplace competence levels. These competence levels lead to the identification of skills deficiencies from the moment of recruitment which may be targeted for development initiatives. CBM is utilised by many organisations to improve performance of both its personnel and the organisation itself to out-compete other organisations in the private sector, while enhancing service delivery in the public sector. CBM is the management system applied in HR areas. It was introduced firstly in training and development initiatives and HR planning by the Canadian Public Service then later in other HR areas like performance assessment

once personnel were already familiar with the utilisation of competences (Forgues-Savage & Wong, 2010:2).

### 3.3.1. Competence-based Framework

The DPSA encourages the utilisation of CBM in HR, since the analysis of the individual competencies provides a profound understanding of HR availability to match human capital with respective processes and activities of the organisation (DPSA, 2010:no pagination). Furthermore, competency methodology guides HR processes for consistency, creates a solid foundation for HR systems. Like the Canadian Public Service, the DPSA identifies training and development among the main areas of competency translation as the key area with most immediate benefit; activities that include selection and recruitment, and performance management. Similarly, the training and development competency-based approach is possible when competence units are aligned to the behavioural indicators of each competence and are developed to ensure the accuracy of any competency and proficiency test (even though it is not recommended for public institutions) used in measuring the skills levels of the managers. Conversely, the proficiency tests may also be developed for a specific unit of competence to measure the levels of proficiency for each competence per participant (DPSA, 2006:10)

#### 3.3.1.1. Competence-based Selection and Recruitment

The CBM becomes very effective when it is used in all HR systems to understand the skills needs of human capital, especially during recruitment. This process is successfully done by means of competency assessment, a scientific process followed to determine the skills and competencies of public servants. This kind of testing is used only if it has proven to be scientifically valid and reliable, fairly applied to public servants, and not discriminatory against any employee (DPSA, 2010:no pagination). Various methods and tools are used to implement a competency-based assessment, depending on the choice of state department. Assessment is utilised in conjunction with the psychological testing. The best method recommended by the DPSA is to cluster several competencies as they reflect on the job applied for by the candidate.

The analysis of a person's ability involves competency-based simulation exercises that provides information on job-related behaviours of the individual, whereas

psychological testing brings cognitive, personality and integrity results. To date, the outcome of the competency-based assessment has been proven by the PCS report to be weak (Public Service Commission, 2018:3). In that regard, the holistic recruitment process includes assessment, and incorporates developmental gaps into the PDP of the appointed official, including training to address identified gaps. Furthermore, the DPSA directive on the need for professionalising the public service confirms the weakness of the competency-based assessment in its testing of generic competencies, not the functional competencies. It leaves responsibility to the leverage of state departments to incorporate in SMS competency assessment (DPSA, 2020:70). Subsequently, the introduction of the Pre-Entry Programme implemented by the DPSA in 2020, is meant to strengthen the SMS recruitment processes and to ensure that SMS members are competent in their job as they enter the SMS echelon and as they progress in the SMS (DPSA, 2016:9).

### 3.3.1.2. Competence-based Performance

The DPSA guides the performance of SMS in the state departments through the Public Service Act, the Public Service Regulation (PSR), and the resolutions of the Public Service-Coordinating Bargaining Council (PSCBC), the Treasury Regulations, and the Batho Pele White Paper. The Public Service Act assigns powers and duties to the state departments' executive authorities on internal organisation and inclusion of performance criteria for Heads of Departments (HODs) (DPSA, 1995). The PSR (DPSA, 2001) states that the Minister of Public Service and Administration (MPSA) shall determine the performance management system for SMS members of the state departments through a Performance Agreement (PA) that defines the key responsibilities to be assessed (DPSA, 2001). The PSCBC negotiates the signing of the PAs by the SMS members and their supervisors. The Treasury Regulation (DPSA, 2001) emphasises the compliance of state departments with the regulation with regards to planning and budgeting of SMS salaries and increments, including monetary rewards which are an outcome of the assessment (DPSA, 2001). The Batho Pele campaign of 1997 provides a strategy to instil a culture of commitment and caring for citizens in all public servants in their delivery of excellent service through eight principles (consultation, service standards, access, courtesy, information, openness and transparency, redress, and value for money) (DPSA, 1998). In this regard, the

PSC report (Public Service Commission, 2018:1) outlines the capable and developmental public service that embraces the RSA Constitution, its values and principles through public servants' strive for excellence in performance in service delivery.

With regards to the simple service delivery model, the DOD has a results-based model that is aligned with subordinate planning instruments. The model talks directly to the strategic planning framework that was explained and demonstrated in Figure 2.2 in Chapter 2. Such instruments include the different levels of planning, monitoring, and evaluation of service delivery by officials at SMS level through the accountability documents of the DOD (Quarterly Performance Reports, Annual Reports, and End/Mid-Term Performance Reviews) developed for the purpose of reporting. The quarterly performance reports provide progress on the implementation of the annual performance plan based on the outcome for the previous quarter measured against the quarterly performance target (Department of Defence, 2012:no pagination). Annual reports provide audited performance information and annual financial statement of DOD institutions, measured against annual performance plans of the previous financial year, to secure accountability and oversight. Furthermore, the End/Mid-Term Performance Reviews provide performance information of each institution in the DOD against the strategic plan by stating the strategic outcomes and inputs achieved over the period of five years.

### 3.3.1.3. Competence-based Training and Development

The understanding of the traditional education system is the progression that is confined within time, space, and has not completely moved away from being teacher-centred. Whereas, competency-based education and training is embedded in mastery of specific knowledge and skills, and is characterised by being learner-centred. The competence-based training emphasised in the SANDF with military training is critical based on the nature of the profession of a soldier which involves skills-based assessment to measure mastery of skills. This has called for a shift in directing courses where evaluation of courses in the entire DOD follow competence-based training and development that administers knowledge and skills-based assessments. This approach recognises performance as satisfactory based on the success of a

competence-based programme which also acknowledges the knowledge and attitude displayed by the participant (DOD, 2017a:no pagination).

Kem (2004: viii) opines that competencies are developed at senior management level from those existing at junior and middle management levels to meet the complex challenges the senior managers encounter as they progress in their careers. This view is in line with the implementation of the DPSA Leadership Development Programmes (LDP) that target the Junior, Middle, Senior, and Executive managers to address the challenge of developing managers into leaders (DPSA, 2008:1). Furthermore, research reveals that all leaders require an ability to analyse the environment, critical thinking, continuous learning, decision making, and effective communication as basic leadership competencies. To enhance such competences at senior management level, senior managers acquire those that are experiential in context to their leadership roles at a given moment. Depending on individual interests in accelerating their development, SMS members will acquire those competences that are salient in junior and middle management that incorporate resource and personal management; envisioning the future and leading change; and political competence to enhance their negotiation, consensus building, and frame of reference development skills (Kem, 2004:viii). Based on this view, leadership development by individuals at this level is vital for aligning the competencies with the demands of the environment, thereby preventing a one-size-fits-all solution, destined to fail.

When the Public Service Act (DPSA, 2014:10) is read in conjunction with the Public Service Regulation (DPSA, 2001:no pagination), they talk to training and education that should support work performance and careers driven by needs, and link strategically to broader human resource management practices and programmes. Similarly, the directive on professionalising the public service talks to the need for the NSG to design and facilitate appropriate training programmes that address the competency gaps identified in the SMS group (National School of Government, 2020:67). The implementation of such programmes in only one SMS group may result in continuous managerial gaps, and serious challenges in addressing such gaps. In this regard, the lack of uniformity in the application of the legislation and in other mandatory directives to all personnel in the DOD causes a notable gap between the two SMS categories when developing capacities in compliance with the Constitution



and the NDP. The need to align the DOD policies with this regulatory framework will accelerate the delay in transformation of the department from the old, bureaucratic, rules-bound organisation into a dynamic, result oriented entity that is focused on people first, service delivery backed up by a united senior management group. This delay in transformation is acknowledged by Esterhuyse (2011:13), Lamb (2004:2) and Veldtman (2018: iii) as they address it in different perspectives in their studies.

Subsequently, the view by Esterhuyse (2011:13) is based on the lack of interest on education by the senior management in the DOD, referred to as anti-intellectualism that hinders transformation of the SANDF into a real sophisticated organisation. According to Esterhuyse (2011:13), it is when this gap is addressed that the transformation to professionalism in the SANDF will be accelerated. Esterhuyse (2011:13) therefore provides a few critical actions to unplug the transformation blockage: 1) separate education from training and development; 2) ensure that directing staff are academically qualified; 3) offload organisational and administrative tasks from colleges; 4) broaden interaction between the SANDF and academic community through seminars, conferences, and exchange of staff and students from foreign armed forces; and 5) pursue vision of officer corps from lowest levels. Veldtman (2018:4) based his view on transformation of the SANDF over a twenty-year period between 1994 and 2014, which did not progress due to the strategic change management approach of the DOD that preserved the transactional leadership status quo that existed pre 1994.

Furthermore, the transactional leadership status quo did not consider the integration of different forces that were amalgamated during democratising SA society, which brought with it the amalgamation of very different cultural backgrounds, and demanded a new institutional culture all together. With regards to transformation, Lamb (2004:2) emphasises the critical areas that institutional transformation should consider, which relates to the essence of the HR system including, cultural, human, political, and organisational areas. In this case of the HR transformation, the cultural transformation affects the change in leadership, management, administrative ethos, various traditions, and value systems. Human transformation impacts racial, ethnic, religious and gender composition and related HR practises. Political transformation ensures

that the conduct and posture of the DOD conforms to the political feature of democracy, an example, civil rule. Lastly, organisational transformation is technocratic, thus impacts right-sizing of the institution through which management practices and organisational processes are made more cost-effective with more efficient services. These views call for the visibility of senior management in crafting policies that are open to change to address the gaps in ETD and the HR systems. And this is the area that hinders the full implementation of the SA Defence Review 2015, due to the gaps identified in meeting these requirements.

The White Paper on Transformation of Public Services (WPTPS) (DPSA, 1995: no pagination) provides departments with guidelines to meet the challenges they face in institutionalising learning, thus promoting lifelong learning for staff. This implies that departments should invest in knowledge, skills and competencies of all staff by fully exploiting opportunities of growth, development and change (DPSA, 1995: no pagination). The SMS members' participation in capacity development programmes brings compliance for the DOD in terms of this policy. Furthermore, based on this policy, the affirmative action was promulgated in the DOD to offer young generation senior managers who might have not accumulated enough experience an opportunity to display the generic competencies required. So doing, such core issues in the capacity assessment framework (already discussed in detail in Chapter Two) as leadership, knowledge, and accountability cannot be successful without the institutional arrangements thoroughly preparing the environment for life-long learning (Wignaraja, 2008b:17). However, the WPTPS presses state departments to prioritise service delivery through the development of a departmental service delivery strategy that is translated to a simple service delivery model (through planning, implementing, monitoring, and review). This model is further utilised by managers to motivate employees to remain satisfied and successful in their respective roles.

Based on the simple service delivery model, the renewal and modernisation of training and education were directed based on a 5-point plan from the DOD HRD Strategy, 1) the renewal of skills planning for accurate plans for capacity building; 2) the professional and functional paths for professionalisation and leadership development; 3) the modernisation of the internal training providers, building systems for quality and credit-bearing learning with active governance and compliance; 4) the building of

partnerships with other public education institutions; 5) the provision of collateral support capacity (DOD, 2017a: no pagination). Thus, the implementation of the 5-point plan will deepen military professionalism, leadership, and will reposition the DOD status as a modern, professional and disciplined force (DOD, 2017a; no pagination). As a result, the areas of concern mentioned earlier in the study from Esterhuysen (2011:12) and Veldtman (2018:4) as those that need to be dealt with in ETD of the DOD in the new democracy, will be addressed. The need is emphasised in the White Paper on Defence of SA for addressing HR issues, namely, integration; maintenance of an all-voluntary force; the Part-Time Force; rationalisation and demobilisation; equal opportunity, affirmative action, non-discrimination and gender relations; and the defence relations as it includes civil-military relations to design and develop defence policies that are in harmony with other government policies (Department of Defence, 1996). This relationship is depicted in the Clover Model by observing interlink between command, leadership, and management through the policies, principles, philosophies, and practices that are unique to the DOD (Wessels, 2000:1-1-2).

Figure 3.2 below illustrates the relationship between command, leadership, and management, as expressed in the Clover Model.

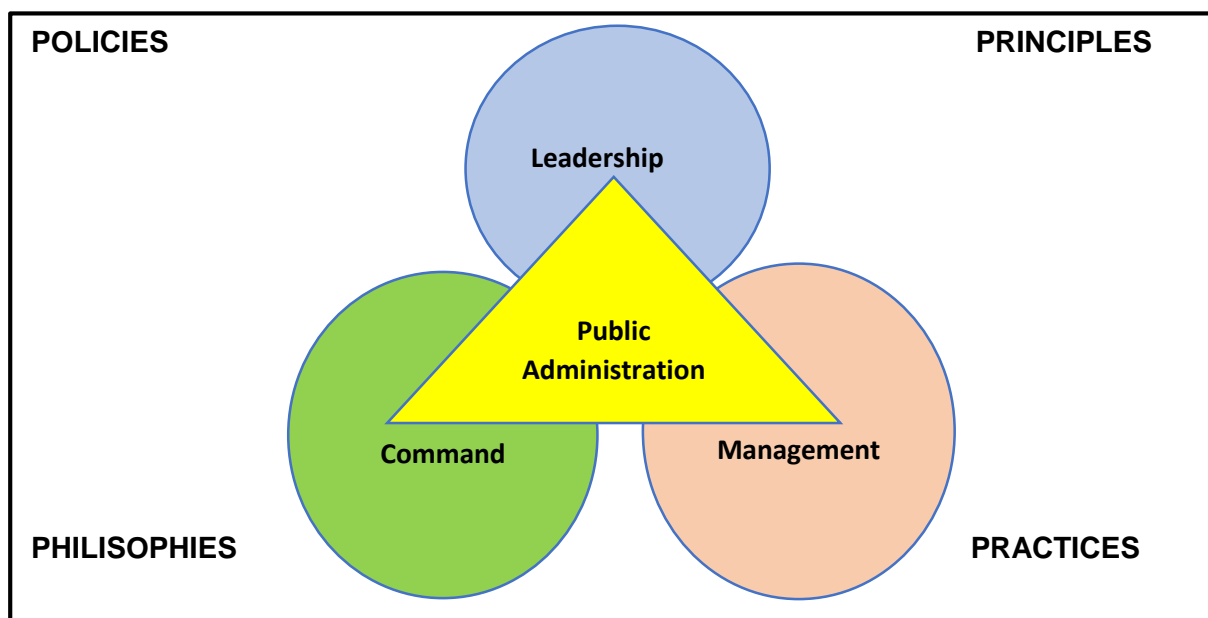


Figure 3.2: Clover Model (Wessels, 2000:1-1-2)

The Clover Model provides an understanding of the integration between the public administration that provides guidelines from government on administering and

managing state departments; the concept of command is a legal authority a person acquires when appointed to accomplish a mission by appreciating the situation, judging and giving orders; management as the way in which technical skills are applied to achieve set objectives based on clear processes for the effective and efficient use of resources; leadership which in the military context focuses on dealing with the character of an individual during deployment uncertainty and scarcity of resources. Bester and du Plessis (2014:143) view the Clover Model as the SA Army leadership paradigm that brings together cross-cultural attitudes, philosophies, and behaviours found only in Africa. This paradigm is visible in the successful SA Army peace operations during support of the country's interests on the continent under different military environments, categorised as: the military leadership situation at micro-level; the general military environment that differs from the civilian leadership in private sector; the public service responsibility as a SA state institution; and the SA diplomat within the African Battlespace (an area where negotiations between military leaders and various leaders occur to achieve a common goal) with the Defence Force from other countries (Bester & du Plessis, 2014:128).

Under the changing environment (that affects policies, principles, philosophies, and practices) and the internal and external cultures (the transformation of the DOD during democracy), there is high possibility of a shift in the landscape, a change in the direction to be taken by the weight of the Clover towards any of the elements in the model. Wessels (2000:1-1-2) argues that external cultures influence the internal culture, which in turn impacts leadership, command, and management practices in the DOD. The shift in command is impacted by clear operational and accounting tasks, whereas the shift towards leadership is caused by situations of change and uncertainty in politics. The said uncertainty, is unfortunately dominated by corruption, labelled as negative ethical conduct. Towards management the impact on the shift is caused by the achievement of explicit government and institutional goals. The Clover Model explains how leadership is handled in the DOD. It concludes that leadership cannot be observed in isolation from command and management, as these elements together are key component responsibilities at the level of the SMS in the military.

### 3.3.2. Relationship between Leadership and Management

Leadership and management are terms that are commonly used interchangeably, even though they are distinct processes that complement each other in an organisation. Definitions of these two concepts reveal their relationship based on the aspiration of the organisation, as stated clearly in the vision and the mission of the organisation. Wessels (2000:1-1-2) argues the relationship between the concepts of leadership, command, and management in the SANDF as a public sector organisation, relating such a relationship to the Public Administration that provides guidelines on administration of state departments. This view supports the statement from the RSA Constitution of unleashing the potential of leaders to respond to the challenges of the work environment in extraordinary ways. Generally, leadership is defined as the capability to influence people by means of attributes and/or behaviours to achieve a common goal. This definition aligns with the definition from the UNDP previously discussed in Chapter Two, defined as the ability to influence, inspire and motivate people, organisations and societies to achieve beyond their goals (Wignaraja, 2009:14). This definition, is adopted as such in this study. Management is defined as a set of processes that keep a complicated system of people and technology running smoothly and effectively to accomplish the desired goals and objectives (DPSA, 2010:no pagination). To discuss the distinction between management and leadership, a summary of their functions is illustrated in table 3.4 below.

Table 3.4: Relationship between Leadership and Management (Power, 2014:102)

<b>Ser No</b>	<b>Leadership Produces Change and Movement</b>	<b>Management Produces Order and Consistence</b>
1	Establishing Direction <ul style="list-style-type: none"> <li>. Create a compelling vision</li> <li>. Clarify the "Big Picture"</li> <li>. Set strategies</li> </ul>	Planning and Budgeting <ul style="list-style-type: none"> <li>. Establish Agendas</li> <li>. Set Timetables</li> <li>. Allocate resources</li> </ul>
2	Aligning People <ul style="list-style-type: none"> <li>. Communicate goals</li> <li>. Seek commitment</li> <li>. Build teams and coalitions</li> </ul>	Organising and staffing <ul style="list-style-type: none"> <li>. Provide structure</li> <li>. Determine and appoint to roles</li> <li>. Establish rules and procedures</li> </ul>
3	Motivating and inspiring <ul style="list-style-type: none"> <li>. Inspire and energise</li> <li>. Empower subordinates</li> <li>. Satisfy unmet needs</li> </ul>	Controlling and problem solving <ul style="list-style-type: none"> <li>. Develop incentives</li> <li>. Generate creative solutions</li> <li>. Take corrective action</li> </ul>

Table 3.4 above depicts the relationship that exists between leadership and management based on the roles played by leaders and managers in government institutions. The Table reveals that leaders and managers produce different results, with leadership through its processes producing change and movement in the form of establishing direction, aligning, motivating, and inspiring people. Management, on the other hand, produces order and consistence in the form of planning, budgeting, organising, staffing, controlling, and problem solving. The relationship between leadership and management is characterised by a synergy between managing the people, systems, processes effectively and efficiently, with management roles influenced by the leadership behaviour (DPSA, 2008:8). The common elements between these two terms are in their functions that lead to the accomplishment of one goal, while they both influence people's actions. Other similarities are identified among the existing management models which demonstrate that a successful manager is the one who can both, manage and lead. Effective leaders are those who can manage or are supported by those who can manage. The DPSA confirms such a relationship when describing how effective managers play equivalent roles as influential leaders through their behaviour.

#### 3.3.2.1. Leadership

Based on the definition provided, the DPSA highlights the need for state departments to acquire visionary leaders that may transform the organisations by building organisational capability within the developmental state, whereby leaders will influence, inspire and motivate people, their organisations and societies to achieve beyond their goals (DPSA, 2008:i). The organisational capability refers to those processes, practices, human, financial and material resources, and activities that create value for the organisation which the leaders must bring out through their translation from the direction, vision, and purpose of the organisation. This kind of leadership is referred to as transformational leadership which augments the effectiveness of transactional leadership. The DPSA refers to transformational leadership as the leadership that is based on influence and inspiring the level of human aspirations and ethical conduct to achieve goals, whereas transactional leadership is based on transaction or exchange of something of value the leader possesses or controls that the follower wants in return for his service (DPSA, 2008:10).

Both transformational and the transactional leadership have shown to be suitable for African leaders such as, former SA President, Nelson Rolihlahla Mandela whose leadership style was characterised by certain qualities that included: selflessness vision and determination; politics without bitterness; forgiveness and reconciliation, participation; leading from behind, symbolism and willingness to quit political power at the right time (Garba & Akuva, 2020:52). Among several leadership styles that are popular are autocratic, democratic, and laissez-faire, the democratic leadership style merges very well with transformational and transactional leadership as the ones that most effectively achieves the objectives of the African community. Transformational and transactional leadership are the kinds of leadership advocated for African leadership by Garba and Akuva (2020:61), since they are well-matched to democratic practices, good governance, and political stability. However, Bester and du Plessis (2014:146) identified that transformational leadership has a positive effect on the six dimensions of adaptive performance; stress management, innovative behaviour, cultural adaptation, continuous learning, international adaptability, and crisis management, dimensions which are formalised in the SA Army doctrine in the Clover Model.

Wessels (2000:1-1-2) defines leadership in context with the military viewpoint on the dynamics of battles as a process of unleashing the potential of people to respond to all challenges in extraordinary ways by visualising, inspiring and counselling. In this case an individual leader expresses a will to dominate and a character which inspires confidence both on the battlefield and in spaces or times of peace. The Defence Review 2015 (Department of Defence, 2014:11-2) emphasises a focus in prioritising command by senior managers in uniform during transition to democracy. This means leadership through education and training will continue to instil mission command in the DOD as a foundation of the defence leadership philosophy through which military commanders at all levels share the responsibility to act, or may decide not to act within the superior's intent, making use of the power they get upon appointment to command.

### 3.3.2.2. Management

Beyond the definition of management provided previously as a set of processes in an organisation, it is also understood as an act of engaging with human talent by utilising

available resources to accomplish desired goals and objectives tasked for high efficiency and effectiveness (Diaz, 2016:no pagination). An organisation in this case is viewed as a system in which managers provide a human action necessary for the organisational system to produce those planned outcomes or goals desired by stakeholders. In this regard, in the public services the countries governed democratically, such as SA, managers and administrators are hired by the elected politicians to oversee daily responsibilities that support the elected government. The role of management in such organisations entails six basic functions: planning, organising, staffing, leading/directing, controlling/monitoring, and motivating. In so doing, the manager plays a vital role in managing available resources by deploying and manipulating HR, and efficiently allocating financial, technological, and natural resources. For managers to successfully manage others, it is crucial that they manage themselves first. At this point, a simple model is used to explain the importance of managing self before managing others and the organisation. The model reveals the three domains of leadership in managing in different environments through capacity development, as illustrated in Fig 3.3 below.

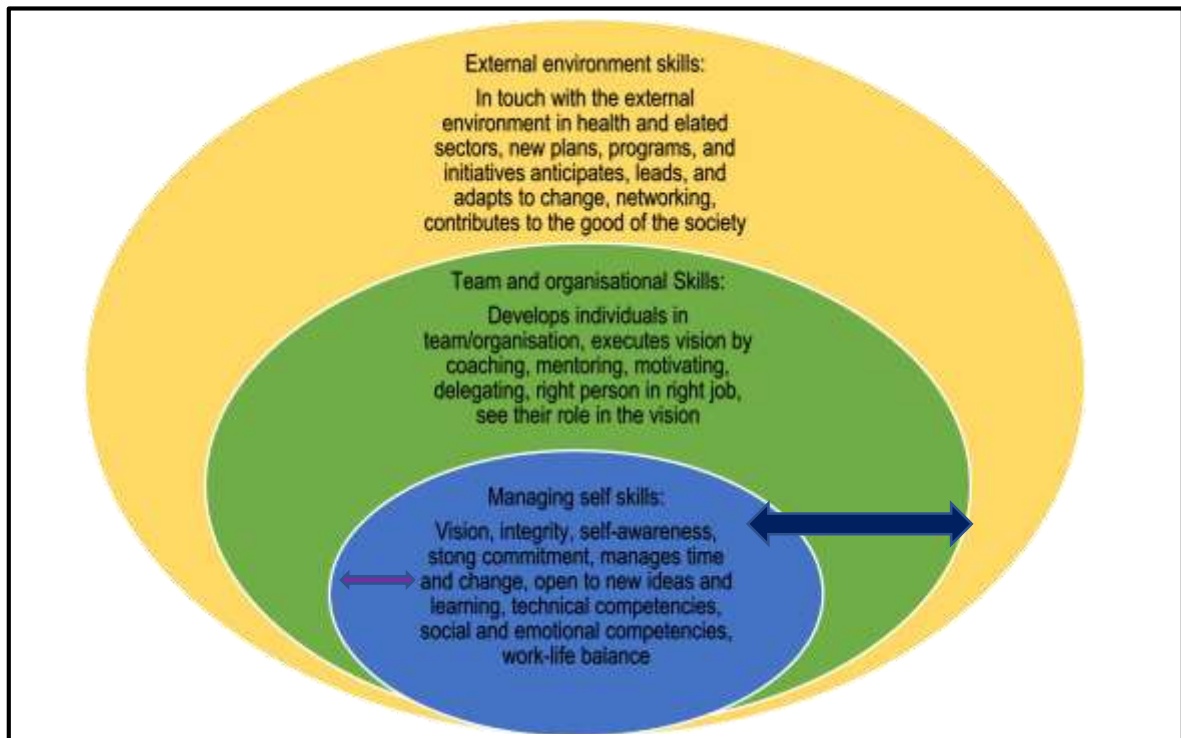


Figure 3.3: The Three Domains of Leadership Capacity Development (Kumar et al., 2014b:no pagination)



The model in Figure 3.3 depicts skills training and development for effective leadership of those managers and leaders who both manage and lead in the organisation. In this model three domains of leadership are represented for managing the self as the innermost domain followed by managing, leading teams and organisation, and then adapting to the internal and external environment at the extremities of the model. The model provides a framework for training and development of leadership skills, and building skills for self-awareness and integrity by assessing one's own behaviour. These skills enhance one's competencies required for being elevated to be a role model for others. This makes it easy for the leader to manage other peoples' behaviour while learning from the environment as represented by the double arrow in Figure 3.3 that overlaps the domains. To enhance time management, managers make use of delegation of responsibilities to other team members to increase the number of hands on the tasks within a limited time to accomplish more tasks (Kumar et al., 2014b:no pagination).

With regards to the DOD, the capacity development of the DOD Senior Managers is overseen by Directorates HR Career Management (D HR CM) for Defence Act Personnel (DAP) and Public Service Act Personnel (PSAP), respectively (Department of Defence, 2002a:no pagination). As a result of dual lines of management, the DOD is experiencing challenges with flow of information, such that, there is lack of visibility in terms of developmental needs of SMS members for proper intervention measures to be executed, monitored, and reported by HRD. Competence-Based Management (CBM) of the DOD when it comes to SMS does not support human resource planning and the business plan of the DOD, resulting in targeted HRD strategy, plan and programmes being inefficient in delivering the objective for training and development (Department of Public Service and Administration, 2009:8). This is impacted, in addition, by dual lines of management of SMS development by the structure of a competency authority system based on the organisational structure (presented in Chapter 2) on divergent roles and responsibilities of C SANDF and the Sec Def.

The White Paper on Transformation of Public Services provides departments with guidelines to meet the challenges they face in institutionalising learning, thus promoting lifelong learning among their staff (DPSA, 1995:no pagination). This implies

that departments should invest in the knowledge, skills and competencies of all staff by fully exploiting opportunities for growth, development and change (DPSA, 1995:no pagination). The SMS members' participation in capacity development programmes brings DOD compliance to this policy. It is also based on this policy that Affirmative Action in SA was promulgated in the DOD by giving an opportunity to the young generation of senior managers that must steer the demands that need to be met (Esterhuysen, 2011:6). In addition to the policy on professionalization of the Public Service, a Public Service Charter was introduced as a Code of Conduct and Ethics to prohibit abuse of positions of authority and commitment to optimal development of public servants, including SMS members (DPSA, 2020:63). It is important that at this point the discussion moves to SMS capacity development through ETD.

### 3.4. SMS CAPACITY DEVELOPMENT THROUGH ETD

The DOD competence-based ETD opportunities are courses recognised and articulated to the next qualification level, provided in the form of functional courses and developmental courses at internal DOD institutions and other recognised external institutions. Such courses are recommended during career development planning and staffing, and are governed by means of Personal Development Plans (PDP) and a competency management system that directs, orchestrates, and controls the delivery of skills development of the DOD (DOD, 2017a:no pagination). The programmes provided by external institutions are funded through DOD bursaries and the Safety and Security Sector Education and Training Authority (SASSETA), as the primary SETA mandated by the National Skills Development Strategy (NSDS) III (Department of Higher Education and Training, 2011:11) to serve the DOD. These programmes are conducted according to the PDP embedded in the Performance Management Development System (PMDS) designed from the Public Service SMS Hand book (DPSA, 2003:8). The DPSA Directives on this matter are promulgated by means of instructions to the two SMS directorates to provide guidelines on implementation.

In building skills and capacity for a professional Public Service, the Compulsory Induction Programme (CIP) is introduced as a requirement for one to work in the Public Service. The programme also educates employees to good ethics and professionalism by demonstrating developmental values, zeal, knowledge, skills and commitment to

service delivery (National School of Government, 2020:72). The DOD promulgated the directive to encourage the participation by all newly appointed officials in induction and orientation (Department of Defence, 2014:11-11). The DPSA legally compels SA state departments to implement these programmes through the NSG. In addition to these programmes, there are compulsory capacity development programmes which are responsive to the current contextual challenges in the Public Service and are there to provide support to state departments (DPSA, 2016:5). In addition to the compulsory training programmes delivered by the NSG, the state departments are to enhance compulsory capacity development of SMS by providing technical and special professional skills in compliance with the National Development Plan Vision 2030 (National Planning Commission, 2012:423). Furthermore, the DOD ETD interventions through symposia, seminars, short courses, and foreign learning opportunities (FLOs) are provided to senior managers to address circumstances in need of training and development. But, these interventions are not standardised to address the generic competences for both categories of the SMS (Department of Defence, 2018:no pagination).

### 3.4.1. The Developmental Learning Paths

The DOD outlined ETD of all DOD officials through the learning paths that support career development. The three unique learning paths for the three groups of DOD officials that includes, Officers, Warrant Officers/ Non-Commissioned Officers, and Civilian officials, outline the end state of professional, skilled and capable DOD officials enhanced through ETD (Department of Defence, 2014:11-11). These learning paths are designed to complement the unique feature of military leaders who are to balance thinking and fighting, a leadership trait that few are born with, but which may be acquired through training, study and application that leads to enhanced skill to take control of events around them. Such opportunities are available for development in the form of functional courses at corps schools, and development courses at the Arms of Service Colleges. Among the programmes and courses provided to DOD officials, are leadership and civic education courses that are regarded as equally applicable and appropriate ETD programmes for both civilian and military officials in support of the defence personnel strategy. They are offered simultaneously to prevent duplication and ensure common understanding (Department of Defence, 2014:11-10).

Forgues-Savage and Wong (2010:6) describe the dual role played by capacity development as the source for information to officials in the organisation, and express the hope for other HR processes to alleviate government and public sector failure by acquiring, stimulating, and retaining the right people. When coupled with the use of CBM utilised in Canada for all HR processes, it becomes possible for the SA Public Service to follow suit as these countries have similar principles for SMS based on a competency framework (Forgues-Savage & Wong, 2010:7). The SMS competency profile in the Public Service of Canada is motivated by HR needs and are key initiatives and strategies of the Government to reflect values, ethics and professionalism expected of public servants (Naidoo, 2006:7). Among the three unique learning paths mentioned earlier in the study, based on the needs of the group of officials available in the DOD, officers and civilian professional learning paths will be discussed in detail to reflect on intervention programmes offered to SMS members addressed in these learning paths.

#### 3.4.1.1. Officers Learning Path

The Officers Learning Path focuses on defence competence enhanced by accredited education where applicable, and contributes to skills development of the Republic of South Africa as expressed by the Minister of Defence and Military Veterans (MOD MV) in support of the National Development Plan of Government (DOD, 2017a:no pagination). Figure 3.4 illustrates professional military development of the officers in the DOD to SMS level:

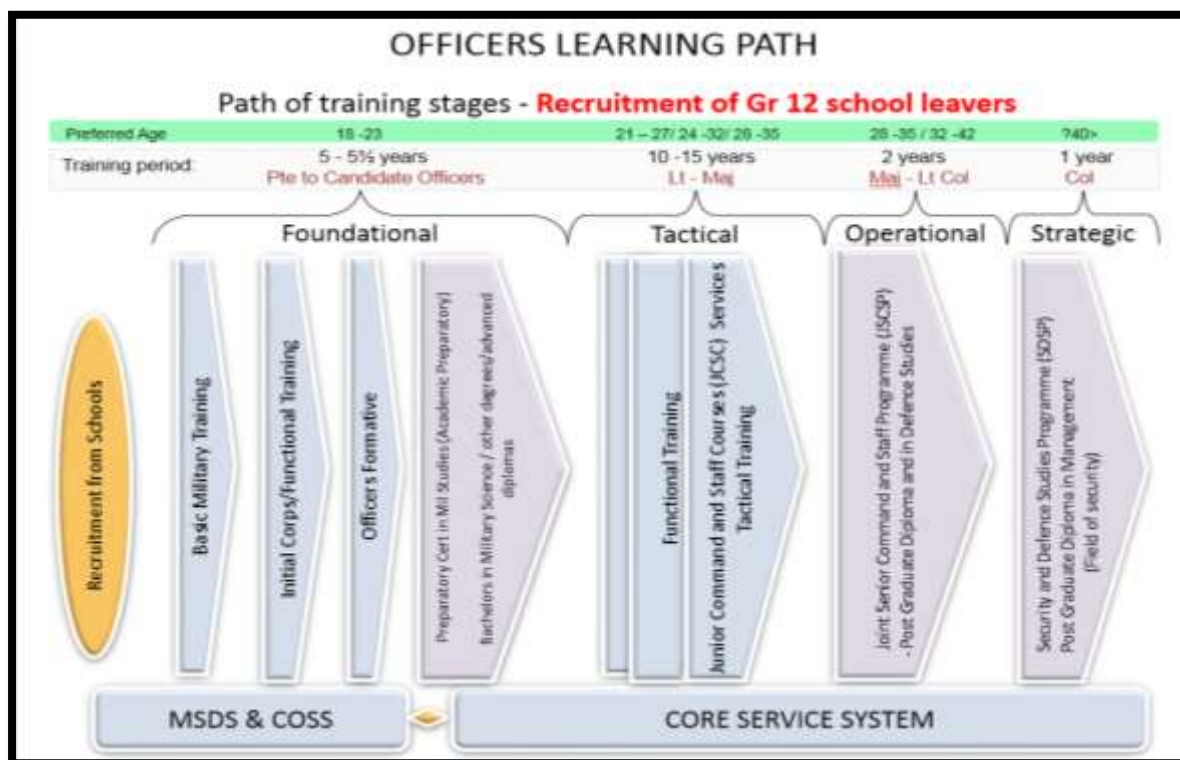


Figure 3.4: Officer Learning Path for the DOD (DOD, 2017a:no pagination)

The officer's learning path in the DOD illustrates the different stages, the years or duration associated, and the developmental path an officer in the military takes to certify readiness to become an SMS member equivalent to salary level 13. The officers at SMS level participate in the Security and Defence Studies Programme (SDSP) and the Post Graduate Diploma in Management at the highest level of the learning path, the strategic level. This is possible if the official did not participate in the programme when at Middle Management Service (MMS) level as a Colonel, or a Deputy Director for civilian counterparts. The programme aims at developing executive officers who are national security advisors with critical ability to analyse the national social, economic, and political dimensions of national and human security to be able to plan for the outcome of military operations (DOD, 2017a:no pagination). It is observed with concern that the professional learning path for officers in the DOD does not include the courses and programmes available in the NSG and other higher institutions for SMS members. These courses and programmes are critical to addressing gaps in support of officers' career development in Defence Academy (Department of Defence, 2014:11-8).

### 3.4.1.2. Civilian Learning Path

The Defence Review 2015 (Department of Defence, 2014:11-10) indicates the role of civilian officials in the DOD in providing professional, specialist, managerial and functional support within the Defence Force, the Defence Secretariat, and the Ministry of Defence. The civilian learning path aims at developing civilian officials to professional defence officials qualified to provide specialist or general support services for effective defence. Figure 3.5 below illustrates the learning path for civilians, inclusive of SMS professional development at the executive stage:

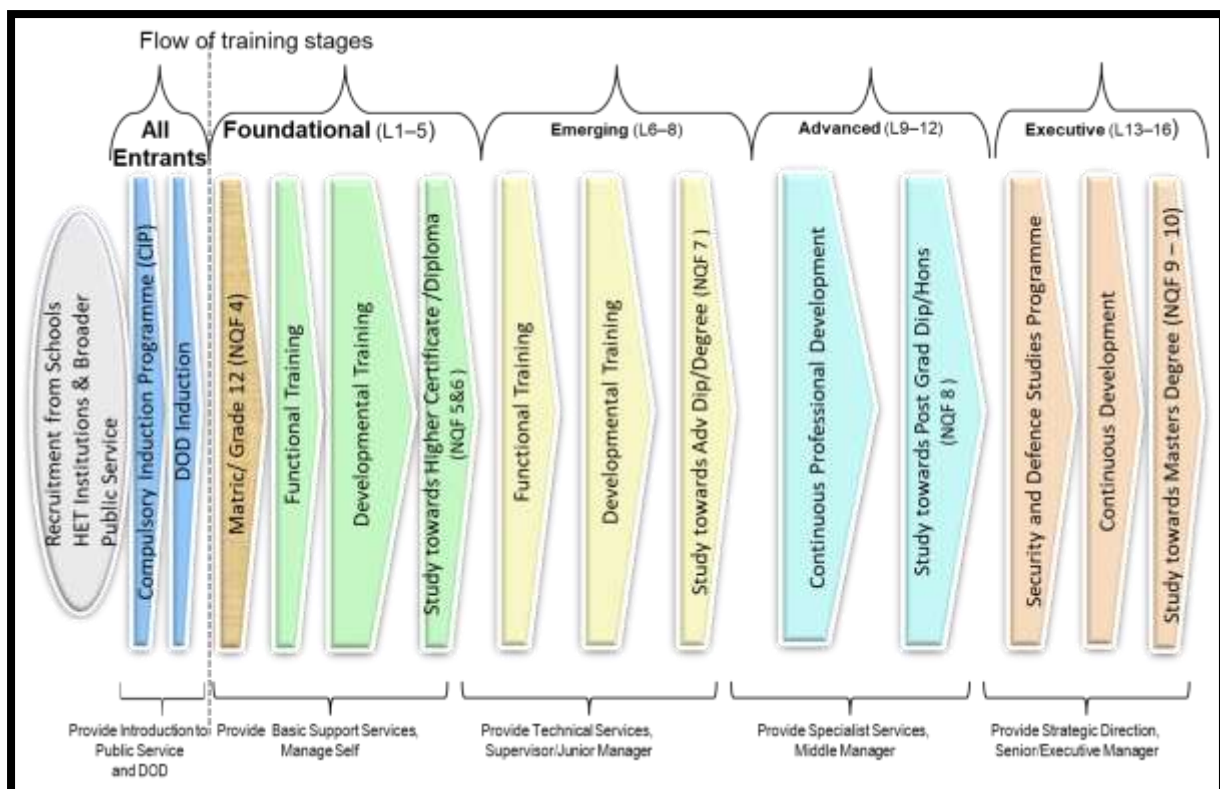


Figure 3.5: Learning Path for Professional ETD of Defence Civilians (DOD, 2017a:no pagination)

The SMS occupies the highest stage of the learning path, the executive stage with access to ETD opportunities to a level of a masters' degree and beyond in education. The skills acquired in the development programmes reflect the quality of strategic thinking and integrated diplomacy. Civilian or PSAP leadership at SMS level serves as support to the SANDF, thus they acquire functional courses relevant to their jobs from DOD institutions, courses which are similar to those of their counterparts in the military that include SDSP and other relevant DOD internal courses. Although, there

is not much emphasis on functional development at this level of leadership, as compared to the lower levels in the learning path. Whereas the induction, orientation and other development courses are mostly acquired through a partnership with the National School of Government (NSG) and other higher learning institutions.

In addition to the civilian learning path, guidelines on SMS development are accessible to PSAP SMS members through lists of development opportunities that include compulsory or mandatory programmes, minimum entry requirements for SMS and 18 days mandatory training on generic and technical competences, as described in the HRD Strategy (DOD, 2017a:no pagination). The Compulsory Induction Programme (CIP) plays a critical role in introducing SMS members who are recruited from outside the Public Service to orientate the incumbents and to address values and skills identified by the PSC in review reports (Public Service Commission, 2018:9).

As indicated earlier in the chapter, the HR practices perceived as the backbone of every organisation are observed to ensure that good legislation and national prescripts are followed and that they conform to the transformation of recruiting, staffing procedures and capacity development, an element that is common to all existing professional learning paths in the DOD, but different in their approach. Clearly, capacity development plays a dual role of being the source for information to officials in the organisation, and the hope for other HR processes in alleviating failure in the government and public sector. Widely reported, alleged failure in the SA government experienced in recent years is discussed in the dialogue with SA stakeholders and the European Union (EU). The Government reportedly shows lack of professional ethics and integrity in state departments (Public Service Commission, 2019:18). The DOD Ministerial Task Team (MTT) Report (DOD, 2020b:22) depicts that the DOD as affiliated to Government, is lately not immune to lack of professional ethics and integrity, which has led to a relapse from the commitments to being the lead country on development of international declarations and protocols that were promoting the interests of women, peace, and security.

Furthermore, the report on the AU dialogue reveals that the existing competence assessment introduced for the SMS is weak in the development of the SMS, due to its minimum entry requirements that specify only qualifications and years of service,

without observing the acquired knowledge, skills, and experience linked to the job or position. Because of that, Government appears unable to acquire, professionally stimulate and retain the right people, even though that might not be true for all state departments. When coupled with the use of competency-based management, as utilised in Canada for all HR processes, it becomes possible for the SA Public Service to benchmark, as these countries have similar principles of SMS that are based on a common competency framework (Forgues-Savage & Wong, 2010:6). The SMS competency profile in the Canada Public Service is motivated by HR needs and the key initiatives and strategies of the government to reflect the standards of values, ethics and professionalism expected of the public servants.

Consequently, the principles of the SMS in SA relate to the introduction of personal development plans where performance management processes are linked to broad, consistent staff development plans that align with the department's strategic goals. In designing development plans for senior managers, state departments are guided by generic management competences for the SMS that intend to build a common sense of good management practice that inform the selection process, performance management and identification of development needs of SMS members. Once managers are given space for ongoing learning and development, they take responsibility to enhance performance through their Personal Development Plans (PDP). The PDPs address the gap between required competency profiles and the actual competencies needed by means of capacity development (DPSA, 2010:no pagination).

However, the concept of capacity development is elaborated on in books written by senior leaders of the Defence Force including, Andersen (2006:111) and Wessels (2000:2-5B-1). These books provide context to training and development in the DOD and offer a perception on leadership, command and management, and include a review of critical areas about the development of civilians. SA and other African countries (Botswana, Kenya, Uganda, and Zimbabwe) whose Defence Force receive well-defined capacity development from the USA, with a standing objective to capacitate defence forces in Africa, appears to have an agenda that serves as an impediment to the development and independence of the continent (Franke, 2007:4). The Canadian National Defence Force provides capacity development only to those



countries that apply in response to their invitation for participation in their courses to promote autonomous decision-making to the countries that participate in their courses. Counter to this action of relying on other European and Western countries for development, the SA former President, Thabo Mbeki made a call to the African leaders to make use of their capabilities in securing their African Renaissance by involving defence leadership, inclusive of civilian leaders, in designing training and development for senior management, thus preserving the continent's culture, common philosophy (Ubuntu), and dignity. The forum was initiated through the African Standby Force (ASF) lead by the African Union (AU) with the purpose to address issues related to Africanism (Franke, 2007:8).

Several studies by Eggleton (2001:no pagination), Forgues-Savage and Wong (2010:6), Hachey et.al. (2020:169), and Kennedy (2006:2) brought a clear view on how the Canadian National Defence Force and the Canada Public Service dealt with the capacity development of both military and non-military officials. Capacity is developed in line with professionalisation of the Defence Force and the Public Service. This has also brought some guidelines to how the current researcher could go about addressing issues related to the research question for this study. Contrary to that, the USA's approach in addressing training and organisational performance, leadership and talent development strategic framework, and military leadership is direct in the strategy it employs in supporting the African countries through leadership training and peacekeeping (Czarnecki, 2018:38; Garavan et al., 2020:4; Power, 2014:6). It goes without saying that the USA approach holds the independence of the African countries when it comes to leadership and management development, such that these countries continue assisting the USA in fulfilling its agenda, which is copied by richest countries. The background provided on capacity development of the African, European, and Western countries lead to the next topic, for example, countries that the DOD benchmark with on capacity development.

### 3.5. BENCHMARKING

The SA transition to constitutional democracy made SA visible in African and World politics. As a result, SA transformed from a hegemon to a benevolent partner in Africa through inter alia quiet diplomacy in a country such as Zimbabwe (Landsberg,

2016:128). The Constitution of the Democratic Republic of South Africa (1996) instituted mechanisms, legislation, and processes to outline the roles, functions, posture, composition, and responsibilities of SA and the SANDF. However, the SA democratic posture signifies SA's role as a peacemaker, peacekeeper, and change agent. Furthermore, the RSA's democratic posture that is entrenched in the values outlined in the Constitution serves as a guideline to DOD posture. Hence, the posture of the Defence Force is primarily defensive, with transparent activities to embrace effective civil control and oversight. Furthermore, the core values, the personal, and the organisational values remain the critical factors that influence the DOD leadership. The SANDF through the Defence Review 2015 (Department of Defence, 2014:3-2) focuses on the transition to democracy which talks to actual transformation and diplomacy. The DOD contributes towards Defence Diplomacy through participation in military-to-military training by means of foreign learning opportunities (FLOs) with over 61 foreign countries, over and above the peace mission activities. The utilization of FLOs by the DOD focuses on peer review and benchmarking to acquire competences that are not fully functional in the country (Department of Defence, 2018:no pagination). Over and above, the DOD HRD Strategy and Plan (DOD, 2017b:no pagination) prioritises the way to accomplish coherent skills development by collaborating with external training and education partners, including foreign learning institutions to enhance internal programmes and to provide skills development programmes not available within the fifty DOD institutions, or in some cases, provide reinforcement on available courses. Benchmarking from Western countries will be discussed next.

### 3.5.1. Western Countries

The DOD utilises subjective criteria to rank countries in terms of perceived combat power and relevant information on the performance of foreign militaries to identify those suitable for benchmarking in the West. Foster et al. (2003:no pagination) states that the armed forces and society developed during the collapse of communism in the Soviet Union and Eastern Europe are of critical importance for benchmarking to developing countries. This is because such countries seem to be superior to other countries since they are more advanced than developing countries. The current study benchmarked with those countries that experienced presidential leadership from

national defence forces which later migrated to civilian leadership through democratic processes. During the time of its collapse, communism influenced other states to an extent that economies of those societies were highly militarised, such that the role of armed forces was extended to performing domestic political and social responsibilities. The end of the Cold War changed the mission of the armed forces by adding to the National Defence the need for contributing to international peacekeeping missions and domestic roles. The complex changes were further complicated by wider global developments that altered military-societal relations in the industrialised western democracies to civil-military relations (CMR) with new sets of challenges. These changes resulted in claims often made that Western standards are regarded as a norm and an automatic benchmark, forcing even African countries to measure the economic development based on such standards, or else remain in isolation (Landsberg, undated:3).

Consequently, SANDF diplomacy is extensively reflective of the world throughout Europe, America, Canada, Asia, China, Australia, India, and many areas of Africa where benchmark is made possible by the existence of relevant embassies. For the purpose of this study, only a few countries were investigated based on military performance that advanced in capacity development of their senior leadership concerning the kind of transformation experienced by SA. Such countries as the United States of America (USA) and Canada have a track record of leadership and management style that the DOD approves. They have shown consistency in providing leadership and strategic programmes for their equivalent of the SMS and lower-level officials in the DOD for both their civilian and military personnel.

#### 3.5.1.1 United States of America

The USA, despite its said agenda and recent performance in the counter-insurgency phase of the Iraq war, remains the predominant world military power. In terms of technology, force level and training, the USA is known to apply best practices, an experience known to senior officials of the SA DOD that participate in their programmes on an annual basis. The USA is continuously doing extensive research when it comes to capacity development of senior managers, both uniform and civilian staff, to contribute to transforming the existing military institutions, policy processes

and how leaders think, including the US AID programmes that have roots in developing capacity in the African continent (McCausland, 2008:25). Beyond that, the USA has a standing agenda of assisting with leadership development of the armed forces for African countries (Franke, 2007:1). The DOD benefits from more than 15 courses offered from the USA for senior managers, even though it is not always easy to apply knowledge gained unsensitised to the context of the SANDF, due to the sheer size and abundance of advanced technology of the USA as opposed to that of SA.

In the endeavour to professionalise the Defence Force, the USA recently worked on the Journal of Military Learning where Erwin and Kirsch (2018:3) identified challenges that exist in HRD and adult learning in line with ethics education. In this case, the arms of services are expected to ensure that ethical values are communicated, developed, and internalised by officials both in uniform and civilian. Consequently, reported failure is caused by leaders who do not uphold the high moral standard expected by public and civilian leadership, thus displaying low moral authority in service delivery. Due to behaviour that led to public scrutiny, the US Army initiated a drive on ethics education with behavioural change outcomes which led to formal training based on three approaches on critical thinking, consequentiality, and deontology (from Greek words for duty: *deon* and some science or study: *logos*). In this regard, critical thinking approach focuses personnel of the individual arms of service by identifying values that inspire and influence its constituents.

In addition to developing critical thinking capability, through training an experience in ethical dilemma will expand to cognition as decision makers will be able to approach each situation by determining the most ethical cause, regardless of the precedence. Further, the focus in the consequentiality approach is on the codified rules, laws and regulations that guide the decision maker towards taking an ethical decision, thus the consequences of decision making. This approach is therefore understood to detach and limit the moral and character development of an individual. Lastly, the deontological approach focuses on honour, duty, and purpose, stated differently, duty emphasises that one must stand by the non-ethical decision he/she made with integrity and commitment no matter the consequences to self. All these approaches do not guarantee that officials will be able to apply ethical skills immediately after training, but

the assumption is that the officers have the basic ethical knowledge that they will build on when they participate in the training.

### 3.5.1.2. Canada

Canada is the major contributor to the SMS approach in the entire SA Public Service, and also contributes extensively to peacekeeping operations throughout the world with a peacekeeping training approach more similar to that of the SANDF (Park, 2008:20). This makes it much more a preferred benchmark than the USA, especially with the SMS system employed there which accommodates civilian counterparts in HR processes, including personnel development. So doing, the Canadian War Colleges prepare future military and civilian leaders for high level policy, command, and staff responsibilities by educating them in the diplomatic, economic, military, and informal dimensions of the strategic security environment, and the effect of those dimensions on strategic formulation, implementation, and campaigning (Department of Defence, 2018:no pagination). Such courses are available to Defence senior leadership of other countries, including Africa, which the SANDF utilises for FLOs, as discussed under professional development learning paths for DOD officials.

In recent years, the CAF addressed equality, diversity, and inclusivity in its concept of military professionalism, by highlighting the areas in the doctrine on recruitment and retention, including operational effectiveness in offering a safe, diverse, and effective force service members (Hachey et al., 2020:214). This initiative was confirmed to be effective by members of the CAF, as it was driven by leadership who envisioned to sustain the profession and maintain the professional conduct that was conveyed effectively by identifying aspects of professionalism. The key aspect identified was defining military professionalism concerning expertise available through skills and performance, responsibility, group identity and cohesion, and education and training. Furthermore, the process was overwhelmed by the future military dilemma in terms of technological advances and the social environment dominated by a political and societal environment shaped by institutional socialisation under enacting civilian control. Subsequently, military professionalism in the CAF was viewed in three dimension: on conceptual (based on the nature of military culture that creates social hierarchies); regulative (based on changes to legislation, doctrine, and direction to

issues related to women, peace, and security); educational (based on curriculum that includes gender-based analysis, sexual harassment, and diversity) (Hachey et al., 2020:223).

On the same note, diversity ensures that the workforce reflects the society from which it was drawn, with a high reliance on the balance of numbers. And with such a view, diversity and gender issues in the military are addressed by challenging how gender is seen in the department to account for experiences of diverse men and women. To that effect, Gender-Based Plus (GBA+) is utilised to analyse beyond aspects of gender on the impacts programmes, policies, research, and services have on diverse men and women throughout their career and at different levels (individual, group/teams, organisational, and societal). Consequently, such elements have been identified by the DOD MTT report (DOD, 2020b:25), the recommendations of which the SANDF will have to act on, as suggested by the DOD MTT report team. They touched on areas relating to the concept military professionalism in the CAF.

### 3.5.2. African Countries

Landsberg (undated:4) observes, when unpacking the Policy Agenda of SA as it manifests in the African continent, that the diplomatic representation of SA in 46 of the 54 African Countries is acknowledged. The acknowledgement of SA is a result of the right policies that prove that it is only through political peace and stability that socio-economic development can take place in Africa. Relative to military matters, Ethiopia and Eritrea are ranked as the major military powers among African countries, even though they do not exhibit best practices. Unlike Nigeria, Ghana, and Kenya with very sound training institutions and solid peacekeeping experience. All these countries do not train senior managers in their countries, but train them in USA (Franke, 2007:3). From Franke's view, Zimbabwe is ranked highest among the world in training their force and Zimbabwe's tremendous involvement in peacekeeping mission in Africa is recognised. When viewed in context of the democracy of Ghana, Kenya, Nigeria, Botswana and Zimbabwe, the SA democracy is still in its early years which makes these more "mature" democracies better suited for benchmarking in Africa. Evidence from Botswana and Zimbabwe military development academies demonstrated different scenarios. Learning institutions in Zimbabwe offer courses for junior and

middle management, while Botswana outsources all training and development opportunities from the USA and Africa, including SA (Republic of Botswana, 2009:20). SA has achieved several goals based on the Africa goals towards 1) strengthening the AU and its structures through different forums, including RECs, PAP, African Diaspora, NEPAD, SADC, and African Peer Review (APR); 2) contributing towards the SADC Common Agenda on integration of multi- and bi-lateral implementation of the RISDP and SIPO action programmes; 3) strengthening the governance and technical decision-making capacities of SADC; 4) contributing to PCRDR in Africa; and 5) contributing towards peace, security and stability in the Africa Standby Force, including bilateral relations (Landsberg, undate:4). According to the Defence policy of SA (Department of Defence, 2012), the Constitution of the (Republic of South Africa, 1996), the White Paper on National Defence for RSA (Department of Defence, 1996), and the SA Defence Review 2015 (Department of Defence, 2014), the mandate for the SANDF is primarily to defend the country against aggression. The secondary function, which is more significant in SANDF operations, is defending and protecting South Africans based on the Constitution and international laws through the objectives set by the AU, SADC, and NEPAD. In so doing, SA has portrayed a positive, non-threatening, and non-confrontational posture with clear, measurable, noble, and achievable policies since the onset of democracy. Such policies were able to emphasise political and economic development goals, but were challenged by implementation due to the political and strategic environment in government, including domestic macro- and micro- institutions. Among the five regions of Africa, the benchmarking here concentrates on two regions, the Northern Africa Region in Egypt and the Southern Africa Region in Botswana and Zimbabwe. Hence, a narrower focus on these countries in the section to follow.

### 3.5.2.1. Egypt

Egypt is the most industrial base in Africa, popular in importing technology to develop electronics and engineering industries, and has a good reputation in cotton manufacturing (RSA, 2015:no pagination). Egypt, Algeria, and Turkey remained military dominated amid other countries that relinquished the military control. This was only changed by the Egyptian Revolution in 2011, yet she displayed an impossibility

in efficient policy integration. According to El-Sholkamy (2016:8), Egypt like most African countries has challenges with its development of human capital as a major concern among leaders and policy makers. This impacted adversely on investment by means of funding and resources for growth and development of the country. That is hindered by the internal environment that could not foster a management culture that would release individuals' potential. The policies could not produce efficient HRD due to inefficient education, training, and employment policies to support HRD demand. The frequent change of rulers has impacted negatively on the efforts towards policy integration where more efforts were focused on solving factional demands instead of addressing the real needs.

Like SA, Egypt has a dire need to establish links between human capital demands of competitive enterprises and the education and training system that can respond to market demands of the country, and globally. In summary, the challenges that pertain human capital in Egypt are institutional problems (institutional framework of the country leads to a system not responding to changes institutionally). Compared to SA, Egypt has a dire need to establish links between human capital demands of competitive enterprises and the education and training system that can respond to market demands either of the country, or globally, to remain relevant.

#### 3.5.2.2. Botswana

The Botswana National Human Resource Development (NHRD) Strategy identifies human development challenges of the country with continued reliance on a single sector economy. Furthermore, the country has sound economic policies that are implemented effectively, supported by a reliable institutional regime. But, its single sector economy poses a serious threat to the socio-economic development of the country (Republic of Botswana, 2009:8). Transformation in Botswana is based on economic development. On the one hand, it is a factor-driven kind of development, characterised by reliance on basic factor endowment, primary unskilled labour, and natural resources. On the other hand, it is an efficiency driven kind of development characterised by higher wages, more efficient production processes, increased product quality, efficient markets, higher levels of education and training, and the ability to harness the benefits of existing technologies. This stage of development has



been passed already by SA. It is believed to be in the third development stage, that of being innovation driven, where there is provision of a sustainable high standard of living for citizens with high wages due to new and innovative goods, and sophisticated production processes from highly skilled and knowledgeable workforce.

As a result of transformation, Botswana's resource development strategy has been changed from natural resource to human resource development, based on what was learnt from "wealthy" countries identified for benchmarking in Botswana are Southern Korea, Singapore, Finland, Sweden, Denmark, Austria, Netherlands, Ireland, Australia, New Zealand, Mauritius, and Asian industrialised countries. This approach is also grounded on the understanding that for every skilled worker, several hundred jobs are created (Republic of Botswana, 2009:11). Botswana's development approach emphasises the occupation of specific education and training programmes that do not consider generic skills and competences that enable effective and efficient performance in the job. When doing capacity needs analysis, Botswana made use of Political-Economic-Social-Technological-Environmental (PESTE) analysis as a macro level strategy framework that brings an understanding of the enabling environment, the organisation, and individual capacities within the organisation which have a significant influence on individuals due to changes effected in employment policies and laws.

The Botswana Defence Force never inherited their military from a previous regime during transformation to independence, which provides a different scenario to the SA case, where the military was adopted with policies and laws that continued during integration, marked by only minor changes. Unlike other African countries in Botswana's neighbourhood (SA and Zimbabwe), the Botswana military was formed from the police structure that existed in the country at the time. Furthermore, the military operated in Botswana without recruiting women during independence, until the time of affiliation with the South African Development Community (SADC) when it was insisted that country affiliates should comply with gender sensitivity. This therefore means there is a possibility of lesser number of women at senior management level, impacting gender issues. However, the Botswana Defence Force has not had training and development of its own since its existence, as it only outsources all capacity

development programmes from the USA as the primary source for military education and training and from other African countries including SA.

### 3.5.2.3. Zimbabwe

The new Zimbabwe National Development Strategy 1 (NDS1) aims at achieving an upper middle-income society by 2030 through its knowledge driven economy for sustainable growth that is marked by a reconfigured education system with a strong emphasis on Science, Technology, Arts, and Mathematics (STEAM) (Republic of Zimbabwe, 2020:XV). The strategy came at a time when Zimbabwe had reached a state of fragility to its lowest point, such that even SA as the closest neighbouring country has adopted quiet diplomacy in addressing the challenges related to Zimbabwe's need to contain the deteriorating polity and socio-economic landscape (Landsberg, 2016:127). The quiet diplomacy policy adopted by the SA government towards African countries, including Zimbabwe, became the most effective strategy in strengthening the relations between these two countries as the best means of providing African solutions to African problems by providing time and space to the affected countries to decide on policy prescripts that address their political and socio-economic problems. It is from this background that the new Zimbabwe NDS1 is embraced as a novel approach from Zimbabwe leadership in addressing its own challenges towards achieving the AU goals.

The Zimbabwe Defence Force (ZDF) has been providing capacity development of its senior managers through Britain. Never-the-less, the ZDF took a position to play a decisive role in the security of the region by opening the doors of its colleges to regional and continental forces as Regional Peacekeeping and Training Centre. It is realised that Zimbabwe has adopted a strategy to transfer high-ranking officers from the Zimbabwe National Army (ZNA) when they are ready to retire, to high level civilian posts in civilian institutions, such as banks and private companies, unfortunately not for a good purpose of benefiting the country, but for individual benefit (Ndlovu-Gatsheni, 2007:75). The strategy serves as an initiative for retention and retaining critical skills merely through loyalty to the ruling party for the benefit of the same. This strategy, therefore, leaves much to be desired when one looks at the positions of directors and power brokers in relation to the economic status of Zimbabwe. This

implies that there is not much to learn from the development of senior managers in the ZDF, but expectations are very high from within Zimbabwe that neighbouring countries to Zimbabwe should continue to provide the assistance needed. The next topic to be discussed in the closure of this chapter is the theoretical framework to explain relevant theories relevant to the study.

### 3.6. THEORETICAL FRAMEWORK

Chowdhury (2019:102) explains the theoretical framework as a logical synthesis of multiple theories utilised to explain phenomena that is an object of investigation in research. Such theories are employed as paradigms which are regarded as a specific collection of beliefs about knowledge and practices based on those beliefs. Another view of Chowdhury (2019:102) is that research is not always based on existing theories; it is rather something that a researcher develops based on reasoning and logic. This view is supported by the present study in the sense that there are limits that are posed by theories to researchers causing them to miss out on important concepts that are not defined by theories. But, this argument is nullified by Molasso (2006:2) who demonstrates the significance of a theoretical framework in any academic research by claiming it makes the findings meaningful, systematic, and acceptable.

From this background, the theoretical framework in this study involves a holistic approach to get a logical explanation of some events through data analysis and evaluation of accountability documents of the DOD. These documents include quarterly performance reports, annual reports, and end/mid-term performance reviews. The focus will be more on the annual reports, as they provide audited performance information and audited annual financial statements on the performance of DOD institutions measured against their Annual Performance Plans (APPs) in the preceding financial year, for the purpose of accountability and oversight (Department of Defence, 2012:26). For the benefit of the current study, running over for three years from 2016 to 2019, the end/mid-term review will be utilised to source relevant performance information of the institution against the DOD Strategic Plans to gauge the extent to which it has succeeded in achieving the relevant strategic outcomes and outputs to the study that were set at the beginning of the five-year period. Among the theories that support qualitative methodology, the systems theory is employed to

simplify a complex dynamic of human socio-cultural variation that impacts capacity development of SMS for both DAP and PSAP in the DOD (Laszlo & Krippner, 1998:4). Systems theory is discussed briefly in the section below to dissect the link between external environmental influences on internal HR systems of the DOD.

### 3.6.1. Systems Theory

Boundless Management (Diaz, 2016:no pagination) defines systems thinking as the process of understanding how parts influence one another within a whole. On that basis, systems theory is regarded as a broader theoretical perspective, compared to the myopic view that focuses only on internal factors such as those related to training design, delivery, and implementation. This study supports the understanding of the view that an organisation is a type of system where managers provide a human action in an organisational system to produce planned outcomes according to the stakeholders' desire. In a system approach, managers design an organisation's structure and determine how different aspects of the organisation interact to fulfil the processes. Further in the design process, managers from different levels of management in different components of the organisation consider working on the outcome of a simple, flexible, reliable, economical, and acceptable organisational design. The organisational design involves systems thinking by identifying parts that add value and ensuring that these parts work together in an organisation as an effective and efficient whole.

This approach is adopted in the current study to help it focus on a variety of issues that impact overall organisational decision-making and functioning in the DOD, especially the HR. In this regard, managers at all levels bring together collective ideas from their different departments, processes, and problems in the system as indivisible components of the broader organisation process. This is possible in programme design by means of a systemic collection of information about activities, characteristics and outcomes of programmes to make judgement about a programme, improve programme effectiveness, and/or inform decisions about the programme (Auriacombe, 2011:37). The systems theory, therefore, has an adaptation principle utilised by organisations, such as training to adapt changing internal and external factors that influence effectiveness (Garavan et al., 2020:3). The systems approach is

followed in the DOD ETD processes by determining the need, design, and development of learning opportunities, implementing and evaluating learning opportunities, while defining the central process.

Research by Forgues-Savage and Wong (2010:7) support the principle of adaptation in systems theory which encourages the use of an HR system that involves competency-based training to adapt to changing internal and external factors that influence effectiveness. In relation to this, the Defence Review 2015 (Department of Defence, 2014:11-2) emphasizes the ETD of all DOD officials by means of the professional learning paths aligned to career management and HR processes, so capacity development in the HRD may complement HRM practices led by the principle of competency-based management. DOD senior management is mandated by the White Paper on Defence (Department of Defence, 1996:no pagination) to prioritise professionalism in the Defence Force through a formal and well-structured ETD, moving away from the norm of either exclusively focussing on, or over-emphasizing operational and tactical training.

### 3.7. CONCLUSION

In concluding this chapter, it is vital to understand that capacity development that leads to excellent performance in the public services is guided by well-defined legislation and prescripts that include the Act, the PSRs, and the resolutions of the PSCBC, the Treasury Regulation, the White Paper in Training and Education of Public Servants, and the White Paper in Batho Pele Principles. The SANDF relies completely on senior members to uphold mission command and governance beyond the attributes that are embedded in core values, and in sound military discipline and accountability that binds the defence force together, without excluding civilian leadership. Professionalism is expressed in the pride in work that is acquired through ETD, and the willingness to change, as is emphasised in the programmes designed to professionalise the Public Service. The need is prominent for the professional learning paths of the DOD to outline vividly the programmes relevant for SMS members to enhance their participation in capacity development programmes. Their participation will address core management criteria needs beyond those outlined for minimum entry requirements.

With reference to benchmarking with African, European, and Western countries, competencies acquired from the FLOs would be highly effective if participation in the courses is evenly shared between DAP and PSAP SMS members. Participation is reported as such for the development of both SMS cohorts and the benefit to the DOD. Participants would build upon to their existing expertise towards a common goal of professionalising the Defence Force and enabling cooperation in processing the transfer of such skills onto DOD systems. That will start with critical areas that need these skills most, while addressing the issue of limited technology resources and other resources. Training and development at senior management level that support work performance and career development should be driven by attending to scarce skills needs.

With the comprehensive literature review as background provided in the previous two chapters, the next chapter will present the methodology utilised in this study.

## CHAPTER 4: RESEARCH METHODOLOGY

### 4.1. INTRODUCTION

The literature review discussed in the previous two chapters has revealed the sources that directed this study at this point towards a suitable research design and methodology. The definition provided in Chapter 1 from Chowdhury (2019:106) explains research methodology as a systematic plan employed to conduct a scientific enquiry from participant recruitment if needed. It involves data collection, analysis, and reporting, by making use of either qualitative or quantitative research approaches, or a combination. However, Sokolova (2006:76) differentiates the two research approaches by the way they are utilised in research. The quantitative research approach is used as the traditional, experimental, or positivist approach that makes use of numbers and figures, whereas the qualitative research approach is postulated as an approach that seeks to elicit the meaning attached to a phenomenon by identifying the problem experienced by participants described in statements and categories that are based on the participants' point of reference. Having understood that, this study followed a systematic plan through a qualitative research approach. This chapter will progressively expatiate how the researcher identified the qualitative approach as the best methodology for the study. In so doing, the research paradigm is discussed as a starting point.

### 4.2. RESEARCH PARADIGM

A combination of the theoretical framework applicable to this study was discussed in Chapter 3. The methodology discussed in the previous paragraph is denoted as a paradigm with a specific collection of beliefs and practices of those beliefs (Chowdhury, 2019:102). In explaining the research paradigm, Babbie and Mouton (2001:13) describe its origin from the world of metascience where human beings continuously reflect on their actions. Such reflections and critique lead to scientific knowledge used to search for truth and validity. The scientific knowledge in research brings up two philosophical concepts based on the view of reality: ontology and epistemology. Ontology is, regarded as the nature of social reality, while epistemology is a philosophy that deals with the sources of knowledge.

Based on these views for reality, ontology brings two positions, one as an objectivist position where the reality is perceived through a natural scientific approach, while the second, a constructivist position perceives reality in multiple ways based on human subjectivity. The epistemologist's position is a twofold on positivism and interpretivist that deal with different ways of knowing reality (Bhattacharjee, 2012:106). It is important to note that positivists accept the only way of knowing the reality as taking a distance and showing a disinterested position (Ritchie et al., 2013:16).

Interpretivists get involved in the situation by engaging the subjects in the process, based on how the reality is interpreted by the researcher and the participants in the process of constructing meaning to reality (Chowdhury, 2019:105). Based on the researcher's insider position in the current post as illustrated in 2.3.1 above, the interpretive paradigm was viewed as the most suitable to this research. Furthermore, the application of the interpretive paradigm was displayed through the subjective interpretation of participants where differences among their responses were reconciled using their subjective perspectives. However, the overview of the study follows the deductive and functional research process categorised into three phases: 1) exploration; 2) research design; and 3) research execution (Bhattacharjee, 2012:20) as depicted in figure 4.1 below in relation to the steps that the project follows.

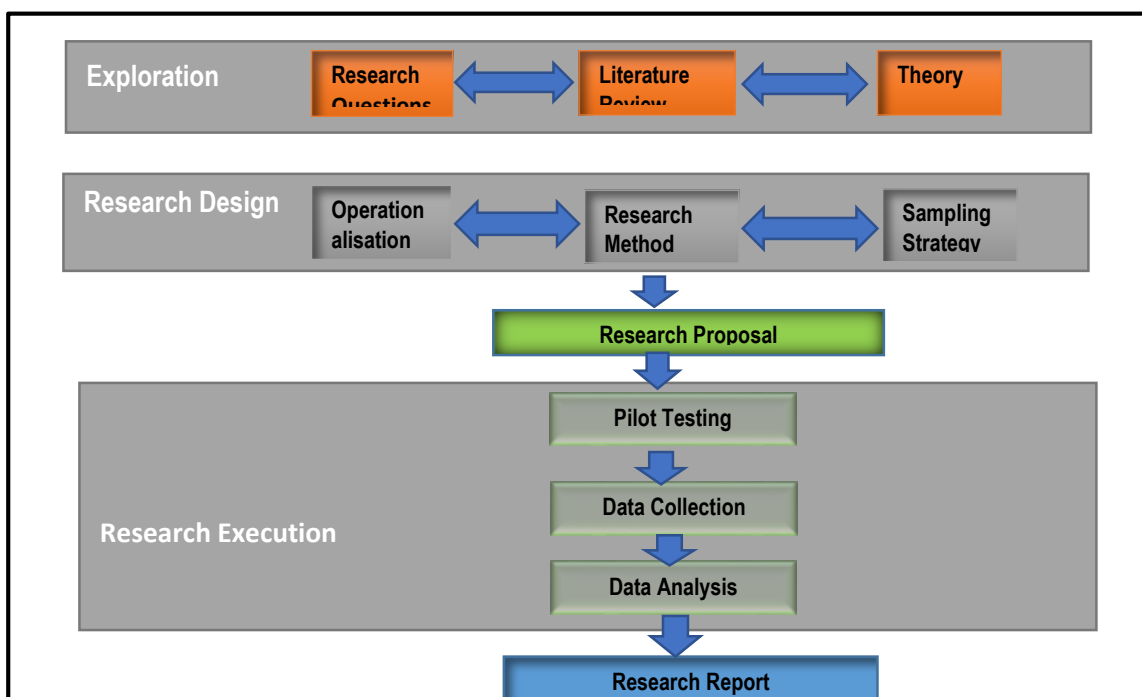


Figure 4.1: Research Process (Bhattacharjee, 2012:20)



The first phase of the research process involves the exploration of the research questions that are categorised into two levels, primary and secondary questions that address the “what” and the “how” of the capacity development framework of the SMS identified and selected in Chapter 1. The exploration and selection of the research questions led to the literature review conducted to survey the current state of knowledge in the enquiry; to identify the key authors, articles, theories, and findings in enquiry, taking into consideration the years of the studies; and to identify the knowledge in enquiry as discussed in Chapter 2. The second phase of the research process is the research design that followed the three steps of operationalisation (a process of designing an abstract theoretical construct measure) discussed in the design of the questionnaire; the research method; the sampling strategy discussed further in the current chapter. The third phase of the research process is the research execution. It followed the approval of the research proposal, which also emanated from the decision taken by the researcher on what to study, what to measure, and how to collect data. This phase is executed in three steps: the pretesting and modification of the questionnaire with a portion of the actual sample; the data collection process discussed in detail in this chapter; the data analysis process in the next chapter, Chapter 5. The research process is concluded with a research report in the form of a thesis. Having understood the paradigm and the overview of the study, the next topic explains the research design, since all other preceding steps were discussed in previous chapters.

### 4.3. RESEARCH DESIGN

Babbie and Mouton (2001:72) define the research design as a comprehensive plan of how the researcher intends to conduct research, which makes it a different dimension to research methodology. Furthermore, Bhattacharjee (2012:35) sees the research design as a comprehensive plan for data collection in an empirical project that aims at answering research questions in three processes. Such processes include: 1) the data collection process; 2) the instrument development process, and 3) the sampling process. However, the research plan guides the social inquiry to answer the research questions towards valid and truthful results. This definition shows focus on the end-product initiated by means of the research problem which led to the primary question

in this study: *“What development framework can be proposed for personal capacity development of SMS members in the DOD?”* This question directed the study towards the creation of a proposed developmental framework as a product. In answering the research question, the research design progressed in three steps that specified the data collection process, the instrument development process, and the sampling process to be discussed later in this chapter. A suitable design identified for and applied in this research is that of the case study (McGregor, 2018:333, Plano Clark & Creswell, 2015: 290) as it also links to the interpretive paradigm (Stake, 2005:460). Plano Clark and Creswell (2015:292) define a case study design as: “...a set of qualitative procedures used to explore a bounded system [like the SMS in the DOD] in depth”.

Stake (2005:443-444) observes that case study assists the research community to understand scholarly research questions like those referred to in 1.4 above. There are a number of typologies, frameworks or types of case studies but the types identified by Stake (2005:445-446) was applied as it demonstrates utility to this study. He identified three types of case study namely: the intrinsic case study, which one does when you want better understanding of a particular case in which the ordinariness is of interest; the instrumental case study which is applied if one wants gain insight into a particular issue or if one wants to redraw a generalisation, and lastly; the multiple or collective case study which is in fact an instrumental case study extended to several cases.

Furthermore, an intrinsic case study involved an investigation of a single case of the SMS in the DOD for the researcher to better understand the case and the internal systems that surround the case (Stake, 2005:445) and as emphasised by Plano Clark and Creswell (2015:292), the “... complexities of what happens in the system of people, not just the individual”. This approach enabled the researcher to collect large amounts of data through questionnaires that were forwarded to the participants in the HR environment of the DOD and the ETD sections of the Services and Divisions. Documents were selected from documents available over the period 1 April 2016 to 31 March 2019 when the DPSA started monitoring the implementation of capacity development programmes for SMS in all government departments since 2005. So

doing, document analysis was incorporated to validate the results, closing any gaps that might be distinguished because of insufficient information from participants' responses. The research approach is discussed next to clarify whether the research approach employed is quantitative or qualitative, or both.

#### 4.4. RESEARCH APPROACH

Plano Clark and Creswell (2015:292) emphasised the link between the case study and qualitative procedures which subsequently imply a link to the interpretive paradigm whereas McGregor (2017:75) links the interpretive paradigm with qualitative research. This almost 'automatically' imply that this study should follow a qualitative approach. Babbie and Mouton (2001:270) explains the qualitative research approach as a broad methodological approach through which qualitative methods of accessing subjects, data-collection, and narrative analysis demonstrate an inductive approach that brings a better understanding of the research design. The qualitative research approach was employed to develop a framework that could be utilised to manage personal capacity development of the SMS of the DOD that had not been fully explored to date. By adopting a qualitative approach, the researcher was able to have a more in-depth understanding of the development of members of the SMS of the DOD and Public Service by exploring the experiences and perceptions of participants from the DOD. At this stage, it is important to look at the research strategy utilised by the researcher.

#### 4.5. RESEARCH STRATEGY

Babbie and Mouton (2001:103) refers to research strategy as a unique, immanently defined content of the real event in which the researcher is interested in understanding a particular and specific case within its own context. The strategy used in this study links closely to the research design of the intrinsic case study (Stake, 2005:444) which requires that a step-by-step plan of action be followed to conduct the research in order to answer and report on answering the research questions. The strategy follows that what the Open Learn University (2022) and Worthington, Miller and Talley (2011:211) refer to as action-oriented research which usually makes use of an insider which is a participatory process where the theory, practice, action and reflection are brought together. It is usually expected that the insiders involved will also be part of

implementing the change suggested from the research. Open Learn University (2022) however warns that action-oriented research is different from action research that highly skilled researchers utilise and it is not always achievable in practice. The action-oriented research strategy followed in this research has the researcher in two roles, first that as an academic and second as a practitioner who collaborates with the participants in order to inform practice, programs and policy while contributing to the scientific knowledge base as alluded to by Small and Uttal (2005:936). The next part addresses the research method used by the researcher to expatiate on the instruments used to collect and record data.

## 4.6. RESEARCH METHOD

Chowdhury, (2019:106) defines the research method as a technique that the researcher uses to collect data. In this case the researcher made use of different techniques that included document analysis, and questionnaires that comprised of a few close-ended- and more open-ended questions. The use of <sup>3</sup>triangulation reduced the risk of inaccurate assumptions, results, and implications, while increasing chances for valid findings (Plowright, 2012:no pagination). The complete process involved document analysis, research setting, entrée and establishing roles, population and sampling, data collection methods, recording of data, strategies for analysis, strategies employed to ensure quality data, and reporting as they are the next to deal with.

### 4.6.1. Document Analysis

Luo (2021:no pagination) defines document analysis as a research method utilised to identify patterns in recorded text by systematically collecting data from a set of written, oral, or visual texts. Recorded texts may include advertisements, agendas, attendance registers and minutes of meetings, manuals, background papers, books brochures, diaries and journals, event programmes, organisational reports, survey data, previous studies (HR Connect) found in organisation files as secondary data with descriptions. To the current study, the use of content analysis was a second source of evidence in addition to the survey by means of questionnaires, employed together to secure credibility (Bowen, 2009:30). Not all documents were analysed. Instead, only

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<sup>3</sup> Use of multiple methods of using sources for data collection.

accountability documents were skimmed, read, and interpreted to provide background and context, additional questions, supplementary data, means of tracking change and development, and verification of findings from other data sources. The process assisted the researcher in making inferences about the producers, SMS members in this case, and audiences of texts analysed.

The content of data from questionnaire and accountability documents was analysed qualitatively (emphasis on interpreting and understanding sources), as data was categorised by coding words, themes, and concepts within texts that led to an analysis of results (Luo, 2021:no pagination). Based on the research question for the study, content analysis was conducted through these five steps: 1) content to be analysed was selected by identifying a sample; 2) the units of meaning and categories of analysis were defined and coded; 3) a set of rules for coding was developed; 4) the text was coded according to the rules of coding; and 5) the results were analysed, and conclusions were drawn. In this case, relevant information from accountability documents of the DOD, as specified in Chapter 3 was systematically analysed. In terms of the research method it is also important to take note of the research setting.

#### 4.6.2. Research Setting

In describing the research setting, Graffigna and Bosio (2006:2) provide a view on the advances made by qualitative research. For example, the availability of different forms of media that include, audio-visual, telephone, information technology, and internet technology has an influence on data collection in the research process. Furthermore, it affects the analysis of results and the relationship between the researcher and participants. This implies that it does have an influence also on the meaning of achieved results. The researcher considered the availability of technology to contribute positively to the meaning of the achieved results at the end of the research project by distributing the questionnaires to the participants, delivering them electronically to prevent contact during the novel Corona virus pandemic (Graffigna & Bosio, 2006:2). All participants are DOD officials that were investigated in their natural setting while occupied in their daily tasks. Most participants who are SMS members are aware of the origin of the research question, since it has been an existing problem in the DOD. The researcher approached the research setting by addressing areas about the core

setting and relevant peripheral data sources, and by looking at the link between the research strategy and the appropriateness of the setting (Alsamawi et al., 2017:30). As stated above, the researcher functioned within the setting and it is therefore important to highlight the objectivity of the researcher.

#### 4.6.2.1. Objectivity of the Researcher

The researcher works as a permanent member of the DOD, tasked with directing education, training, and development of civilians in the DOD, including the SMS members from the civilian side of senior management. The researcher acknowledges her involvement in the study and the risks she poses to the project as a worker and a researcher, but purposefully set aside her own beliefs, perspectives, and predispositions to collect data, analyse data, and report the findings (Bhattacharjee, 2012:106). The participants in the study include civilian and military personnel who were approached by the researcher to avail their enthusiasm about the study, borne from seeing the outcome of the study as a possible solution for a long-standing impediment to effective leadership and management.

#### 4.6.2.2. Biases and Risks of the Study

In pre-empting non-responsive biases, especially the low response rate by respondents was curbed by notifying them by means of a formal letter in advance, immediately after approval by the research ethics gatekeepers of the DOD and Stellenbosch University (SU) for the research to continue. Even though 90% of participants are SMS members, they are all posted in the HR environment in their respective posts, which makes them familiar with the language that was used for their responses (Bhattacharjee, 2012:110). The researcher also did control checks to ensure that the risks to the study are limited as much as possible by looking at the researcher as a risk to start with, the participating subjects, the social context and even the data collection as posing the potential risk of data corruption.

The researcher was always mindful of such risks, and thus cautious when handling the different activities that involved potential risks, such as treating questionnaires and responses from participants as confidential. To prevent corruption of data, questionnaires were emailed to participants, and receipt was confirmed by respective participants. Data collected were kept in the researcher's computer which is utilised

by the researcher alone, and copies were saved to an external hard drive and to One-drive for backup. Content analysis showed to have more risks and biases than what was expected of the responses from the questionnaires, based on insufficient details and time management in evaluating evidence. During content analysis, the risks identified were low retrievability of data where access was blocked deliberately for security reasons, and biased selectivity as suggested by incomplete collection. During evaluating of evidence more critical areas in the process were limited by time constraints, such as: process of establishing meaning and contribution to research; determining relevance to the research problem and purpose; process to ascertain if the content fits the conceptual framework of the study; and determining authenticity, credibility, accuracy and representativity (see discussion below on the strategies employed to ensure the integrity of the data).

#### 4.6.3. Entrée and Establishing Roles

The researcher approached the DOD and SU gatekeepers for permission to conduct research in the DOD under ethical considerations approved by the DOD and the university. The researcher approached the entrance to the premises of the DOD through a formal letter in an open and transparent manner with a clear research purpose (Singh & Wassenaar, 2016:43). Even after the permission was granted by the gatekeeper, the researcher did not take for granted the protocol of the DOD and the ethical responsibilities of the researcher, therefore, respected boundaries of access granted by adopting an objective and formal stance to the research process. The researcher kept focus on the described outcome that captured every participant's perspective and interpretive understanding in context. The next step was to do sampling from the population relevant to the research.

#### 4.6.4. Population and Sampling

Bhattacharjee (2012:65) defines population as all people in a unit of analysis that have the characteristics of interest in the study. Based on the magnitude of the case, it is not always possible to collect data from all cases, which then leads the researcher to select a sample. Sampling is therefore defined as a statistical process of selecting a subset of a population of interest to make observations and statistical inferences about the population (Bhattacharjee, 2012:65). These definitions guided the researcher in

identifying the relevant sample for the case study with the understanding that the SMS system is applicable internationally and nationally in the broader Public Service, but the population for the study was limited to the SMS in the DOD, comprised of 270 SMS members, inclusive of DAP and PSAP, posted in all Services and Divisions. In this way, the sampling process which comprised several stages that involve clearly defining the target population, selecting sampling frame, choosing the sampling technique, determining the sample size, collecting data and assessing the response rate (Taherdoost, 2016:19).

The researcher analysed government policies for the SMS in the Public Service and the DOD in comparison to what is happening in countries from the West, Europe, and Africa. In that regard, the SMS members in the DOD are the unit of analysis for the current study to conceptualise a framework to be designed as an outcome of the study. The sampling process was therefore initiated by identifying the target population of the SMS members of the DOD, followed by choosing the sampling frame which is an accessible target population from the list of all SMS members in the DOD. Purposive sampling was utilised, in this case, where all SMS members working in the HR environment in the Services and Divisions of the DOD were selected as participants, as described further under "Choice of participants" (Babbie & Mouton, 2001:73). The participants were deliberately chosen to provide HR related information about the SMS in the DOD which cannot be obtained from others, even though they are also involved in the HR processes of their respective environment. The sample size (N = 17) was determined by involving all SMS members posted in HR, including ETD of the Services and Divisions inclusive of the officials acting in the vacant posts to reflect the number of obtained responses. After the participants were approached by means of emailed formal letter for data collection, the response rate was determined from those who agreed to participate in the study (Taherdoost, 2016:26).

#### 4.6.4.1. Recruitment of Participants

For this study, the following potential participants were invited to complete the questionnaires: (a) Four Directors for ETD from four major Services (SA Army, SA Air Force, SA Navy, and SA Military Health Services); (b) one Director from the office of Sec Def; (c) one Director from the Finance Office; (d) one Director from Internal Audit; (e) eight Directors and two officials from the HR office. A total of seventeen DOD



officials from the HR environment of the Services and Divisions of the DOD were sufficient to participate by responding to the designed questionnaires with open-ended and a few close-ended questions on demographic and personal background information for participants (See appendix A).

#### 4.6.4.2. Choice of Participants

As stated above, purposive sampling was employed, because it is fit for this explorative study to describe a phenomenon in which little is known from research (Babbie, 2014:101). In this case, the researcher received information from participants to achieve the purpose of the study: *“to develop a proposed development framework that may be unique to DOD for personal capacity development of SMS in the DOD”*. Therefore, this technique allowed the researcher to select a sample of people who have relevant knowledge for the study and those who were able and willing to share that information with the researcher. The researcher’s experience in the DOD contributed to her ensuring that sampled participants voluntarily participated in the study (Department of Defence, 2002b:4). Some of the targeted participants who were not willing to share their experiences due to their availability identified subordinates to participate for the purpose of inclusive information sharing. Some of the participants who are not SMS members are acting in the posts of the SMS and were willing to participate in that capacity. They were accepted because they are familiar with the context of the SMS. All participants completed the consent forms agreeing to participate to the study voluntarily before completing the questionnaire.

#### 4.6.5. Data Collection Method

The study made use of questionnaires as the primary source of data. The researcher designed two different types of questionnaires, one for SMS members whose job is to manage ETD in the Services and Divisions; the other for HR managers dealing with SMS management and development in the HR Division. See appendix A for an example of these questions. The open-ended questions utilised in the questionnaires allowed participants to respond to questions in their own words to give their personal perspective, whereas the close-ended questions were based on demographic and background information to report frequency statistics. In addition, more information was provided by responding in areas where *“other”* was a scale item or where a

participant was requested to specify or motivate a response. More data were collected from the DOD accountability documents to determine whether documents were reflective of responses from participants.

#### 4.6.5.1. Self-Presentation

A formal communication was forwarded to relevant offices and individuals participants by email after approval by the DOD and Stellenbosch University. Following a formal alert, the researcher distributed the questionnaires to all participants by email as a safety measure against Covid-19, even though they could be delivered in person in Pretoria where the researcher is stationed. This method complied with Covid-19 SU regulations which aimed to protect students against infection (de Villiers, 2020: no pagination). Hence, the participants could be identified and might influence the results of the study which can be a possible limitation of the research.

#### 4.6.6. Recording of Data

The recording of data from documents selected, and responses on questionnaires were coded and recorded on computer hard drive for analyses, where it was read and analysed. The research aim guided the coding scheme that leads to categories. Data from selected documents were organised into major themes, categories, and case examples, applicable to qualitative methods of the study. The coding used in questionnaires was used in document selection to provide evidence for credibility, thus reducing potential bias (Bowen, 2009:28). The recording process involved defining codes from questionnaires together with themes that integrated data. Non-numerical results from questionnaires with open-ended questions were coded in detail before analysis.

#### 4.6.7. Strategies for Analysis

White (2003: 82) refers to data analysis as a process of organising data into categories and identifying relationships among categories. This study used a structured method called thematic analysis regarded as a pattern within data that emerge to codes that are categorised to form themes (Gillham, 2003:59). The structured method progressed through three approaches that include, conventional, directed, and summative approaches used to interpret meaning of content in the context of data to keep it more

natural. The major activities among these approaches are coding schemes, origins of codes, and threats to trustworthiness. In this case, the conventional approach was more efficient where all data was analysed in an aggregated fashion and coding categories were derived directly from the text data. In so doing, the coding categories that led to themes integrated data and verified findings from the questionnaire responses. This in turn assisted the researcher to evaluate the documents against the questionnaire responses (Bowen, 2009:33).

#### 4.6.8. Strategies Employed to Ensure Quality Data

Korstjens and Moser (2018:120) identify quality criteria for qualitative research as credibility, transferability, dependability, and confirmability. Credibility measures the true value of the problem by measuring the focus of the study in achieving what it is meant to achieve (Korstjens & Moser, 2018:121). This is achieved in the study by the way the data was handled and the processes of analysis that included triangulation in addressing intended focus. In the process multiple realities of those studied were disclosed based on the views of participants in HR and ETD environments (the responses from participants are captured in Appendix C). Transferability depends on the reader's perception for the applicability of the problem and the findings to other context, including generalizability to the entire SMS population (Korstjens & Moser, 2018:121). In that regard, the methodology of this study outlines step by step process followed that lead to the outcome which can easily be applied in similar situations and even be used to the same participants for dependability which refers to stability of findings (Korstjens & Moser, 2018:121). It is understandable that in some cases capacity development of SMS is hindered by the misconceptions that the individuals may have that at the level of a senior manager one does not need development. Such biases might affect the findings, but the audit trail of the study is confirmable in that the conclusions are grounded on the data presented in Chapter 5.

Korstjens and Moser (2018:120) further explain operationalisation of trustworthiness as a process where transferability of qualitative study relies on credibility, which also relies on dependability. Credibility as the truth value of the study deals with the confidence of the research in how well the data and processes of analysis addressed the intended focus. The researcher's objectivity was revealed through the processes

utilised in gaining access to the site, gathering data, data analysis, and ensuring accuracy and trustworthiness by verifying and cross-checking the findings. Such objectivity is the central role of interpreter and observer, which means the researcher remained unbiased in descriptions and interpretations by controlling various sources of error that might affect the ultimate validity of research results.

Furthermore, analysis in this study involved conceptual categories of empirical data where pattern-matching was observed to enhance internal validity, and explanation-building was engaged (Costa, undated:11). To address issues of generalisation, findings were tested by comparing them with knowledge from previous studies and theories referring to leadership theories and the systems theory explained in Chapter 3 (Babbie & Mouton, 2001:283). In accessing the information on capacity development of SMS members, systems theory was utilised to focus on internal factors related to training design, delivery and implementation, which in turn assisted to focus on a variety of issues impacting overall organisational decision-making and functioning. All the above contributed to the integrity of the study.

#### 4.6.8.1. Organisation of Data

To provide thick descriptions, the researcher collected sufficiently detailed descriptions of data in context, uncovered meaning, developed understanding, and discovered insight relevant to the research problem for transferability. This was done to provide sufficient detail and precision for the judgement to be made by the reader. The documents selected provided data on the context within which participants operated. Data from documents was used to contextualise data collected from questionnaires. Data from documents was more relevant for triangulation during lockdown due to Covid-19 when participants could not have free movement to access all information, or had forgotten some of the information needed since they could only access their offices. Analysis, therefore involved skimming, reading, and interpretation, which combined elements of content analysis and thematic analysis (Bowen, 2009:32). The researcher also acknowledged the multiple realities that exist in the study and reported by presenting participants' perspectives accurately (Noble & Smith, 2015:34).

#### 4.6.9. Reporting

The main product of the study is a thesis in a form of a manuscript. It aims to address a problem identified in the problem statement as the lack of a uniform, comprehensive framework for personal capacity development of SMS members in the DOD. The approach to the study, as discussed, included descriptions of people's intentions, meaning, and reasons to bring understanding in terms of the non-observable meanings, intentions, values, beliefs, and self-understanding that SMS members in the DOD hold.

A thick description is an end product which includes the findings during publication of the research. Subsequently, the report comprises the areas planned to be addressed in the study that include, the introduction to the report, the aim of the study, review of literature, sample and population of the study, data collection methods used during the study, data analysis methods that lead to dependable findings, discussion, recommendations, and conclusion. Furthermore, the report was structured with an abstract, followed by the main text structured in sections that talk to previously mentioned headings relevant to the aim of the project. Therefore, this study did not include any identifiers. (Burnard, 2004:174).

A qualitative research article of no more than 6 000 words was also compiled through a concise, thick description of participants and context, methods, and findings in categories and themes. The findings were reported in Chapter 5 of the thesis in such a way that it reveals synthesis and interpretation that links to empirical data while answering the research questions. The findings section thereof ended with a developed framework (Korstjens & Moser, 2018:123).

#### 4.7. ANTICIPATED LIMITATIONS OF THE STUDY

According to Olufowote (2017:2), the researcher reports limitations of research addressing three audiences, the peer reviewers, the interested readers, and the writers or researchers, on the major problems of the research study which may influence the interpretation of the results of the study. The researcher already identified during the development of the research proposal certain limitations that could negatively impact the research as alluded in Chapter 1. The study only focused on the DOD without including other government departments with SMS members. A limitation

is that the study targets only the DOD, no other state departments with SMS members. Another limitation might be the fact that participants in the project were senior officials in the department, who all happen to be senior to the researcher which might result to them limiting the information provided.

Military systems have been untouchable areas in the history of SA, and it is still sensitive to research particular areas within the DOD. The researcher works for the DOD, therefore understands security classifications for DOD documentation, and how to access those which are in fact accessible. The researcher kept the research within the protocols of the DOD throughout the research process as she is familiar with security classifications for the DOD documentations and the limitations they are likely to pose. None of the documents that have been used are classified as either Secret, Confidential or Restricted, the revelation of which by participants would have brought the department into disrepute, causing participants at risk of being charged with disclosing content not authorised by the DOD. Another limitation to the study is that it focuses mainly on capacity development within the broader Public Service, with reference to the strategic level SMS in the DOD.

#### 4.8. ETHICAL CONSIDERATIONS

Ethics is regarded as the moral principles that govern an individual's conduct. Parveen and Showkat (2017:123) refers to research ethics as norms for conduct that distinguishes between rights and wrong by doing what is morally and legally right in research. It is therefore regarded as central to the research process, hence, researchers are to uphold good ethical conduct in all stages of research. In compliance with the National Advisory Board on Research Ethics, the researcher submitted the research proposal to the ethics review committee since there is involvement of the subjects' physical integrity (Helsinki, 2009:3).

The approval by SU ethics committee of the research proposal led to an approval to conduct research in the DOD. The researcher has familiarised herself with the ethics of research and has chosen the research topic, methodology, techniques, instruments, and even the timelines for the project with much consideration of DOD protocol. Participation in the study by the DOD officials through completion of questionnaires is completely voluntary. The officials were provided with a full background of the study

in order to make an informed decision for participation in the research. The researcher displayed clear consideration of research ethics principles that encompass (a) respecting the autonomy of research subjects, (b) avoiding harm, and (c) protecting privacy and data (Helsinki, 2009:5).

The researcher facilitated the processes of acquiring suitably profiled participants, and informed participants about the topic, purpose, procedure, and benefits, and real or anticipated risks of participating in the study. The researcher also assured participants that privacy and confidentiality will be secured before seeking consent to participate. Participants were informed about the right to refuse to answer any question they feel uncomfortable answering, and the right to withdraw from the study at any time, before, during and after the actual collection of data, where practically doable. The researcher allowed participants to sign consent forms before participation and gave participants the opportunity to ask clarity seeking questions or raise any concerns. The questionnaires did not induce any personal data, which affirmed confidentiality and anonymity. After the responses were received by email from the participants, the researcher returned feedback giving also the opportunity to express their experience about the research.

#### 4.9. CONCLUSION

The researcher offered her understanding of the processes involved in implementation of the research design, methodology and the qualitative methods suitable for this project. In that way, the researcher provided an understanding of the philosophical concept the study followed in search of the scientific knowledge concerning capacity development of the SMS in the DOD and Public Service. That has led to the deductive and functionalistic research process followed by the study, outlined according to three distinct phases. The understanding, internalisation, and application of the correct processes for the research design and methodology of this study, with the background of theoretical framework were crucial for answering the research questions. These questions will be explicitly deliberated in the next chapter of this report. The next chapter culminates the research findings on the research methods and data collection and analysis instruments deliberated in this chapter.

## CHAPTER 5: RESEARCH FINDINGS

### 5.1. INTRODUCTION

The in-depth description of the research methodology provided in the previous chapter provided the research methods, data collection methods, and included the process of coding. Coding is regarded as a process used to identify meaningful units of responses utilised to examine data from the categories of coded words, themes and concepts within texts explained under document analysis expressed in paragraph 4.6.1. Subsequently, to reach those units, step-by-step processes of data analysis started from a thorough reading of data, followed by coding through which material was labelled according to categories and themes. Categories were scrutinised and merged to connect data descriptions that led to descriptive results outlined in this chapter. A similar step-by-step process of document analysis proceeded from a purposeful sampling accountability documents of the DOD, including quarterly performance reports, annual reports, and mid-term performance reviews. These accountability documents were selected from records over the period 2016 – 2019. This chapter primarily presents the findings of the research, starting with the participants in the study.

### 5.2. PARTICIPANTS IN THE STUDY

The participants for the study were a research unit from the DOD where all the SMS members working with HR and ETD in their respective environments, especially at the levels of Directors, Brigadier Generals/ Rear Admirals (Junior Grade) and those acting in such posts in the Services and Divisions of the DOD, were selected to participate. Hence, only seventeen participants from HR and ETD sections of the four Services (Army, Air Force, Navy, and SAMHS) and the two bigger Divisions (Finance and Logistics) in the SANDF were approached, since the smaller divisions either have only one, or do not have an SMS member at all. Only two participants did not submit their responses; one from HR Division and the other from one of the four Services. Due to Covid-19 restrictions, the questionnaires were administered electronically, whereas DOD accountability documents to be drawn from analysis were accessed by the researcher from the DOD intranet and registry office. The representation of the



participants who remained anonymised, but, were named according to HR and ETD, are illustrated in Table 5.1 as per response submissions.

Table 5.1: Response Rate of Participants

Responded Participants	No of Questions with Responses		Percentage
	19 Questions for HR	21 Questions for ETD	
HR 1	17	-	89,5%
HR 2	15	-	78,9%
HR 3	19	-	100%
HR 4	14	-	73,7%
HR 5	15	-	78,9%
HR 6	16	-	84.2%
HR 7	19	-	100%
HR 8	0	-	0%
ETD 1	-	21	100%
ETD 2	-	21	100%
ETD 3	-	20	95,3%
ETD 4	-	21	100%
ETD 5	-	21	100%
ETD 6	-	21	100%
ETD 7	-	21	100%
ETD 8	-	21	100%
ETD 9	-	0	0%
<b>TOTAL</b>	<b>17</b>	<b>7</b>	<b>8</b>

Table 5.1 above demonstrates the rate at which the participants responded to the questionnaire. From the number invited to participate, seventeen participants were recruited and only fifteen responded ( $n = 7$  HR and  $n = 8$  ETD). Out of nineteen questions forwarded to the HR SMS members, an average of three questions were not answered completely as they were not at their disposal. The questionnaire allowed for that since they are specialists in specific areas in their work environment. This is one of the reasons the questionnaire (see Appendix A) was introduced to HR participants and were informed that “*some of the questions might be easily accessible from other directorates of human resource, so they should feel free to leave them blank as they will be completed by relevant directorates*”. Also, to accommodate some complexities among the two groups, some questions in the ETD group did not appear in the HR questionnaire. Furthermore, only one question was not responded to by one ETD participant. At this point, it is critical that the purpose of the study be

discussed as well as the research questions addressed through the instrument utilised for data collection.

### 5.3. OBJECTIVES OF THE STUDY

The objectives of the study as discussed in Chapter 1 of this report are three-fold: 1) to analyse the current status of governance for management of capacity development of SMS members in the DOD; 2) to establish how development needs of SMS members can be proactively made visible for planning, monitoring and evaluation; 3) to develop a framework with unique elements to manage personal capacity development of SMS members in the DOD. From these objectives, the research questions were derived with the primary research question being: “*What development framework can be proposed for personal capacity development of SMS members in the DOD?*” Meanwhile, the three secondary questions asked are directly linked to the objectives and are expressed in three-fold: 1) What is the current governance status for management of capacity development for SMS members in the DOD? 2) How can the development need of SMS members be made visible for planning, monitoring and evaluation? 3) What framework with unique elements to manage personal capacity development of SMS members in the DOD can be developed? These questions are addressed in the structure of presenting data from the questionnaire responses.

### 5.4. STRUCTURE OF PRESENTING DATA

As illustrated in Appendix A, the questionnaire comprised of a few closed-ended- and more open-ended questions presented in quantitative and qualitative format. Data presentation is therefore done in two different ways, as tables and as themes, based on the aspects addressed by these two types of questions, as they complement each other. In addition, document analysis will be presented based on accountability documents of the DOD that will also be utilised for triangulation during the data presentation of the questions.

#### 5.4.1. Findings on Closed-ended Questions

The closed-ended questions in the questionnaire addressed the participants’ response rate already depicted in Table 5.1 for the credibility of the study; response rate of participants per level in Table 5.2 that reflects participation of more than 50% SMS

members; background and demographic information based on the levels of education, distribution in Services and Divisions according to gender and race as depicted in the following tables:

#### 5.4.1.1. Different Levels of Participants

The responses submitted demonstrated different levels of participants, especially from the Services and Divisions where officials in different levels are acting or appointed in the ETD or HR posts to coordinate HR issues. The levels of participants are therefore illustrated in Table 5.2 below.

Table 5.2: Response Rate per Level

<b>Post Title</b>	<b>Number of Participants</b>	<b>Percentage</b>
Director	8	53,3%
Senior Staff Officer (SSO) ETD	2	13,3%
Staff Officer (SO)1 ETD	1	6,7%
Staff Officer (SO)2 ETD	1	6,7%
Deputy Director ETD	1	6,7%
Deputy Director HR Management	1	6,7%
Assistant Director HR Support	1	6,7%
Did not Specify	2	13,3%
<b>TOTAL</b>	<b>17</b>	<b>100%</b>

Table 5.2 depicts the participation rate per levels of participants at which they committed themselves to contributing to the study as per invitation. All SMS members invited from HR completed the questionnaires, but only one SMS from Services and Divisions. According to the responses, the indication is that all participants work with HR and ETD, which is one of the requirements for participation in the study.

#### 5.4.1.2. Background and Demographics of SMS in the DOD

The following two tables and the bar graph depict background information and demographics of SMS in the DOD with respect to the levels of education of SMS members and the distribution in Services and Divisions based on gender and race. With information on the education levels of SMS, it is easy to identify the relevant intervention programmes according to the entry requirements for the programmes. For example, participants for the Security and Defence Studies Programme (SDSP) must have an honour's degree or a Post Graduate Diploma to acquire a master's degree qualification. Furthermore, the acceptance of participants in a development

programme must be according to the equity plan for the DOD, hence the demographics of SMS with respect to levels of education and disparities for gender and race.

Table 5.3: Demographics of Qualifications for SMS

Qualification	Obtained	In Progress	Planned	Percentage
Grade 12/ Standard 10	1054	1	-	334,6%
Certificate	150	-	-	47,6%
Diploma	12	-	-	3,8%
B Degree	29	16	23	9,2%
Post Graduate Diploma	25	4	10	7,9%
Honours Degree	19	32	41	6,0%
Master's Degree	21	7	2	6,7%
Doctorate	-	-	-	-
<b>TOTAL</b>	<b>1 310</b>	<b>60</b>	<b>76</b>	

From Table 5.3, the numbers of SMS with Grade 12 or Standard 10 are beyond the actual number of SMS members in the DOD, which implies that there was a miscalculation from one of the Services when recording the numbers. According to one of the participants (HR3)<sup>4</sup>, all qualifications are recorded in the personnel and salary administration system (PERSOL) of the DOD but could not be confirmed as the system is being upgraded to enhance the capturing of qualifications for all members. It is also possible that they did not provide the highest qualification only; but if a person has matric and a degree, they would indicate both. There is no other means to ascertain the accuracy of qualifications in the system, which remains a challenge for HR planning in identifying individuals to participate in courses that have entry requirements for certain qualifications. The system could also not confirm SMS members with a Doctorate even though there are some known to have the qualification. It would thus be safe to say that the integrity of the reporting system for qualifications on PERSOL is questionable, which implies that the results are not a true representation of the qualification status of the SMS in the DOD. The demographics on race and gender for SMS are depicted in Table 5.4 below:

<sup>4</sup> ETD1 - 7 and HR1 – 8 codes refer to research participants of this study

Table 5.4: SMS Demographics on Gender and Race

Fin Year	Male				Female				TOTAL
	African	Asian	Coloured	White	African	Asian	Coloured	White	
FY 2016/17	183	16	14	92	72	14	7	33	431
FY 2017/18	178	16	17	69	71	12	8	32	403
FY 2018/19	186	16	16	56	73	9	12	30	398
FY 2019/20	167	18	15	51	74	12	9	29	375
<b>TOTAL</b>	<b>714</b>	<b>66</b>	<b>62</b>	<b>268</b>	<b>290</b>	<b>47</b>	<b>36</b>	<b>124</b>	<b>1 607</b>
<b>Percentage</b>	<b>44,4%</b>	<b>4,1%</b>	<b>3,9%</b>	<b>16,7%</b>	<b>18,1%</b>	<b>2,9%</b>	<b>2,2%</b>	<b>7,7%</b>	

Closer inspection of Table 5.4 reveals the demographic disparities of SMS members in the DOD according to gender and race. The information in Table 5.4 was accessed from the DOD annual reports from Financial Year (FY) 2016/17 – FY 2019/20. The annual reports also indicated the actual number of SMS officials, as reported by Services and Divisions annually. These numbers demonstrate a very slight annual increase in black females, otherwise there is no progress in the DOD to address race and gender issues, based on the trend depicted from Table 5.4 over the period of four years under investigation. The trend also reveals a decrease in the total number of SMS members each year over the period 2016 to 2019, with an average percentage of 1.16%. A simple reason for the decrease might be retirement, since participants indicated that the DAP SMS members are promoted late in their careers when they are already due for retirement. This is confirmed by the current age cohort for SMS which indicates 59,1% of DAP and 11,4% of PSAP at the ages between 50 and 59, when there is also 0,1% that is beyond 60 years of age. With that information, participants deduced that the late appointment to the SMS echelons causes the SMS members to be less interested to participate in development programmes. This may also be interpreted/ deduced as promoting people late in careers, close to retirement, to secure a better retirement package, even though it is not always the case.

Table 5.5 below demonstrates the current strength and distribution of the SMS in all Services and Divisions in the DOD for both DAP and PSAP as gleaned from the Directorate ETD annual report (DOD, 2020a:75). These numbers could not be found from the responses of the participants, since only a small group could report numbers based on their environment. Only a small amount of 12,7% of the population of SMS members in the DOD appeared on the responses.

Table 5.5: The Current Strength and Distribution of SMS in the DOD

SMS Strength and Distribution in the DOD:		
PSAP and DAP	PSAP	DAP
Ministry of Defence	18	1
Secretary for Defence (Incl HODSCI & DEISM)	7	1
CSANDF	1	1
Chief Financial Officer	11	
Chief Defence Pol, Strat & Plan	9	
Chief Defence Materiel	4	4
IG DOD/ Chief Audit Executive	2	0
Defence International Affairs	4	0
Chief of Staff	0	0
Chief Army	0	28
Chief Air Force	0	25
Chief Navy	0	19
Surgeon General	10	11
Chief Defence Intelligence	0	15
Chief Defence Foreign Relations	0	12
Chief Human Resources	5	22
Chief Logistics	1	16
Chief CMIS	0	5
Chief Defence Legal Services	1	2
Chief Military Pol, Strat & Plan	0	5
Chief Defence Reserves	0	1
Chaplain General	0	1
Director Def Corporate Communication	0	1
Provost Marshal General	0	1
Defence Inspectorate	1	2
Military Ombudsman	8	

The SMS strength provided in Table 5.5 above depicts the reduction in the number of SMS members employed in the DOD by the year 2020, compared to the previous years under investigation, by at least 11.4%. Furthermore, as alluded to in paragraph 5.2, SMS members in the DOD are distributed in the four Services and the twenty-one Divisions of the DOD, including the offices of the Ministry and the Military Ombudsman. The distribution shows the areas where there are no DAP SMS members are offices of Financial Officer, Defence Policy Strategy and Plan, Audit Executive, Defence International Affairs, and Military Ombudsman. According to Table 5.5, PSAP SMS members are not appointed in the office of the Chief of Staff, but that is different when it comes to most of the Divisions in the DOD. It is interesting to notice that the DAP SMS constitutes 64.4% of the SMS in the DOD, while the PSAP SMS comprises 35.6%. This brings the focus to the reason behind low participation, since the SDSP is the only course identified for SMS members in the officers' learning path. One of the participants indicated the reason verbatim as:

*“SMS members do not attend courses at all. The few exceptions of SMS officers on SDSP are the result of promotions and appointment before completing the SDSP. It*

*must be understood that SDSP is not a prerequisite for promotion and appointment of uniformed SMS members” (HR2).*

#### 5.4.1.3. SMS Participation in Intervention Programmes

The questionnaire also addressed the SMS participation in interventions by the DOD to enhance capacity development. It depicts in Table 5.6 below a trend that demonstrates poor participation of SMS members in all spheres of their development, from compulsory training, capacity development programmes, to seminars provided by the DOD (e.g. a transversal competence seminar<sup>5</sup>), and those provided by institutions of higher learning.

Table 5.6: SMS Participation on Compulsory Programmes and Development Programmes from 2016 - 2020

Year	SMS Members Attended Compulsory Programmes	SMS Members Attended Development Programmes	TOTAL	%
2016	0	0	0	0%
2017	0	0	0	0%
2018	0	13	13	44.8%
2019	3	9	12	41.4%
2020	1	3	4	13.8%
<b>TOTAL</b>	<b>4</b>	<b>25</b>	<b>29</b>	<b>100%</b>

The SMS participation in Compulsory Programmes and Development Programmes is depicted in Table 5.6 above for a better reflection of the development opportunities provided for SMS in the DOD. During the period under investigation, years 2016 and 2017, none of the SMS members participated in the skills programmes provided by the DOD, whereas only thirteen SMS members participated in seminars, according to DOD reports. Even though the total number of invited participants in seminars cannot be confirmed, the transversal seminar invited 45 participants, yet none of the SMS members attended. It was not the only seminar arranged for the year in question. However, the report analysis contradicts the 116 indicated by participants in the questionnaire. In addition, the mid-term report generated from the annual reports over

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<sup>5</sup> DOD seminar aimed to enhance competence levels for SMS members in the DOD on critical skills prescribed by the DPSA

the period 2016 – 2019 to the DPSA also indicated very low participation, in compulsory capacity development and relatively poor compliance on mandatory training days. These interventions are meant to instil a culture of continuous development and promote professionalism in the SMS echelons. The poor participation might be caused by the non-availability of a policy that talks to the development of SMS in the DOD. One of the participants confirmed that there is a lack of policies addressing issues specifically affecting PSAP SMS members (ETD4). Furthermore, there is also a lack of monitoring, evaluation and reporting on the implementation of policies for example, after attending training, and no report is submitted by an official and no evaluation of or reporting on the impact of training on work performance. This participant also proposed a remedy for policy development and enforcement that is required (ETD4).

#### 5.4.1.4 Performance Agreement

The questionnaire also investigated the signing of Performance Agreements (PAs) by SMS members in the DOD, as annual reports state that through the PAs the Performance Management Development System (PMDS) focuses on the development of all officials (DOD, 2017b:172). Even with that understanding there is still a significant number of SMS members who do not submit the signed PAs on the due dates. Table 5.7 below demonstrates the number of SMS members who signed PAs in the DOD.

Table 5.7: Signed Performance Agreements for SMS in DOD

SMS Level	2016			2017			2018			2019		
	No of SMS	PA Signed	%	No of SMS	PA Signed	%	No of SMS	PA Signed	%	No of SMS	PA Signed	%
DG	6	0	0%	6	0	0%	1	1	100%	1	1	100%
Sal Lev 16	4	2	50%	4	4	80%	3	2	67%	3	2	67%
Sal Lev 15	18	14	78%	16	7	50%	15	13	87%	13	6	46%
Sal Lev 14	52	58	112%	51	39	75%	52	49	94%	51	49	96%
Sal Lev 13	213	195	92%	213	151	71%	211	192	91%	200	197	99%
<b>TOTAL</b>	<b>293</b>	<b>269</b>	<b>92%</b>	<b>284</b>	<b>293</b>	<b>69%</b>	<b>282</b>	<b>257</b>	<b>91%</b>	<b>268</b>	<b>255</b>	<b>95%</b>

Table 5.7 above depicts the percentage of the SMS members per levels who have signed the performance agreements and submitted on time according to the DOD plan over the period 2016 – 2019. The percentage have dropped in 2017 to 69% with



reasons that have not been identified in the reports nor have been indicated by the participants. The accelerating change has been detected from 2018, with the DG having signed the PA since then, which shows positive consideration which might influence other members too.

The DOD has designed a PA that suits the circumstances in the DOD to accommodate deployments. This might be another cause of noncompliance (Appendix B), which could not be detected in the previous years when there was improvement. If so, that might have changed the behaviour of the SMS members who did not complete the PAs, which might be a positive response to what one of the participants indicated about the need for an instruction to enforce compliance. Participants indicated that the PMDS has no contribution in achieving the development goals of SMS members because performance development plans in performance agreements are not completed as required. Furthermore, the areas that require development are not submitted to the training directorate to be pursued accordingly when they are identified in performance development plans. One participant proposed a remedy for the PMDS instruction to enforce the submission of this information to the training component to be implemented accordingly (ETD4). The researcher can confirm that the latest instructions issued for PMDS processes in financial year (FY) 2020/21 still lack in that area (DOD, 2020a:3).

#### 5.4.1.5. ETD Current Legislative and Policy Context

Participants demonstrated that the DOD has well formulated policies in HR that are aligned to the Constitution, legislation, and mandates, yet lacks explicit guidelines on the development of SMS members, both DAP and PSAP. The list provided in Table 5.8 below is from the Directorate ETD Annual Performance Plan (APP) to demonstrate legislative mandate description and the key responsibilities imposed to impact the ETD policies.

Table 5.8: DOD ETD Legislative and Mandates (DOD), 2017a:no pagination)

<b>Serial No</b>	<b>Legislative Mandate Description</b>	<b>Key responsibilities</b>
1	Constitution of the Republic of South Africa	Structuring and management of the DOD and SANDF
2	Defence Act (Act 42 of 2002)	Management of members of the SANDF
3	Defence Amendment Act 22 of 2010	Establishment and Functioning of the Defence Service Commission
4	Public Finance Management Act (Act 1 f 1999)	Management of resources in the DOD and SANDF
5	Public Service Act (Act 103 of 1994)	Management of employees of the DOD and SANDF
6	Skills Development Act,1998	Management of the development of skills within the DOD and SANDF
7	Basic Conditions of Employment Act (Act 75 of 1997)	Management of service systems and conditions of service within the DOD and SANDF
8	Employment Equity Act (Act 55 of 1998)	Management of employment equity and affirmative action within the DOD and SANDF
9	Labour Relations Act (Act 66 of 1995)	Management of labour and service relation within the DOD and SANDF
10	Occupational Health and Safety Act (Act 85 of 1993)	Management of occupational health and safety within the DOD and SANDF
11	National Qualification Framework Act, 2008 (Act 67 of 2008)	Regulation of all accredited training across the sub frameworks of the NQF in all DOD ETD environments
12	Higher Education Amendment Act (Act 67 of 2008)	Governance of all ETD aligned with Higher Education in the DOD (e.g., Military Academy, Defence College, and War College)
13	General and Further Education and Training Quality Assurance Amendment Act (Act 50 of 2008)	Governance of all ETD aligned with General and Further Education in the DOD with UMALUSI
14	Skills Development Amendment Act (Act 37 of 2008)	Management of the development of skills within the DOD and SANDF
15	Defence Review 2015	Applying new strategic policy, structure and functioning through specified, time-based milestones
16	National Skills Development Strategy 111, 2011	Deriving all direction in total of ETD from the strategy. DOD HRD Strategy aligned with this strategy
17	Human Resource Development Strategy 2016-2025	Direct, orchestrate, and control ETD in the DOD
18	SETA grants Regulations No 35940	Utilisation of SETA funding for the skills Development of all DOD officials

It can be seen from Table 5.8 above that the list lacks some of the critical legislation that mandate the appointment of Defence Civilians who should be developed in line with National prescripts to professionalise the Public Service and the DOD. The list is confirmed by participants to be available to SMS members that attend the Advanced

Training and Management Course (ATMC) meant to orientate officials, including those appointed in the posts for the ETD of Services and Divisions.

#### 5.4.1.6. Current Human Resource Systems Contribution to SMS Goals

Having declared the availability of the HR policies, the participants were provided with an opportunity to indicate how the current HR systems contribute to the goals of the SMS. Different responses on several systems that are linked to capacity development are depicted in Table 5.9 below.

Table 5.9: Contribution of Current HR Systems to SMS Goals

HR Systems	No Contribution	Little Contribution	Moderate Contribution	Large Contribution	Very Large Contribution	TOTAL	%
Performance Management Development System	3	2	1	1	1	8	22.2%
Individual Career Development Plans	5	0	3	2	1	11	30.6%
Organisational Learning System	4	1	3	1	1	10	21.8%
Competence-Based Management System	2	0	4	1	0	7	19.4%
<b>TOTAL</b>	<b>14</b>	<b>3</b>	<b>11</b>	<b>5</b>	<b>3</b>	<b>36</b>	<b>100%</b>

The depiction from Table 5.9 above illustrates that there is no contribution by the HR systems to the SMS goals. About 38,9% of participants indicate that they do not see any contribution made by the HR systems investigated in the study. This indication is followed by 30,6 % moderate contribution to the goals of SMS which gives hope that enhancing the HR systems will have a positive impact on capacity development of SMS. Having said that, it is sufficient to draw from one of the participants' stated motivations to support this outcome, that even if SMS members did not attend any development intervention, those who could not participate in the SDSP before they become SMS members, are given an opportunity to attend when they are promoted.

#### 5.4.1.7. Interventions in Support of SMS Goals

The study also investigated through the questionnaire how the interventions with regards to policies, learning paths, competence development, and foreign learning opportunities that are provided to support the SMS goals impact their goals on capacity development. The participants' responses were summarised as depicted in Table 5.10 below.

Table 5.10: The Impact of Intervention to SMS Goals

Intervention	Impact					TOTAL
	Very Small	Small	Medium	Large	Very Large	
Available Policies	2	-	5	4	2	13
Learning Path	1	-	4	4	1	10
Defence College Course	1	-	1	4	1	7
Security and War Course	1	-	1	3	2	7
Executive Programme in Defence Decision Making	1	-	2	4	1	8
Senior International Defence Management Course	1	-	2	2	1	6
Senior Leader Seminar	1	-	2	1	1	5
Senior Mission Leaders Course	1	-	1	-	-	2
Strategic Thinking for Flag Officers	-	-	1	-	-	1
<b>TOTAL</b>	<b>9</b>	<b>-</b>	<b>19</b>	<b>22</b>	<b>9</b>	<b>59</b>
<b>%</b>	<b>15,3%</b>	<b>0%</b>	<b>32,2%</b>	<b>37,3%</b>	<b>15,3%</b>	<b>100%</b>

Table 5.10 above depicts that intervention has a large impact on SMS goals, which implies that there should be reinforcement when it comes to interventions provided by the DOD. The said reinforcement should be visible in the policies and instructions that direct those interventions. This kind of impact is demonstrated by 37,3% contribution reported as large impact for all interventions made. More participants demonstrated an understanding of the impact made by policies compared to other interventions, as 13 participants contributed to that area. Even though 5 participants at 38,5% report a medium impact made by policies, it may be deduced that the interventions need to be clear in addressing SMS goals to reinforce the support needed. The introduction of learning paths in the DOD has not made much impact on capacity development, since participants are still rating the extent of their impact as between medium and large. It therefore goes without saying that there is hope in the learning paths, but there is a need for visibility of programmes that are relevant for SMS.

## 5.4.2. Findings from Open-ended Questions

The tables (Tables 5.2 – 5.10) presented above were derived from the closed-ended questions that were supported by probing open-ended questions and triangulated with document analysis from accountability documents. These open-ended questions and documents provided more information in response to the research questions through themes generated from the list of codes revealed from the questionnaire responses.

### 5.4.2.1. Coding Strategies

The coding process adopted by the researcher involved first cycle coding as well as after first cycle coding based on the two main coding methods, including the second cycle coding, commonly drawn from real statements to general or abstract statements to generate theories (Saldana, 2003:133). First cycle coding and after first cycle coding started from the point of assigning labels to the responses, and ended with the formulation of themes from the questionnaire and DOD documents by means of pen and paper on transcripts transferred to an excel spread sheet (see Appendix C). Furthermore, out of the seven first cycle coding methods (grammatical, elemental, affective, literary and language, exploratory, procedural methods, and theming of data), the study utilised only four methods due to the nature of the questions in the questionnaire including, grammatical, elemental, effective methods, and theming of data. The process followed through the coding method is illustrated in Figure 5.1 below:

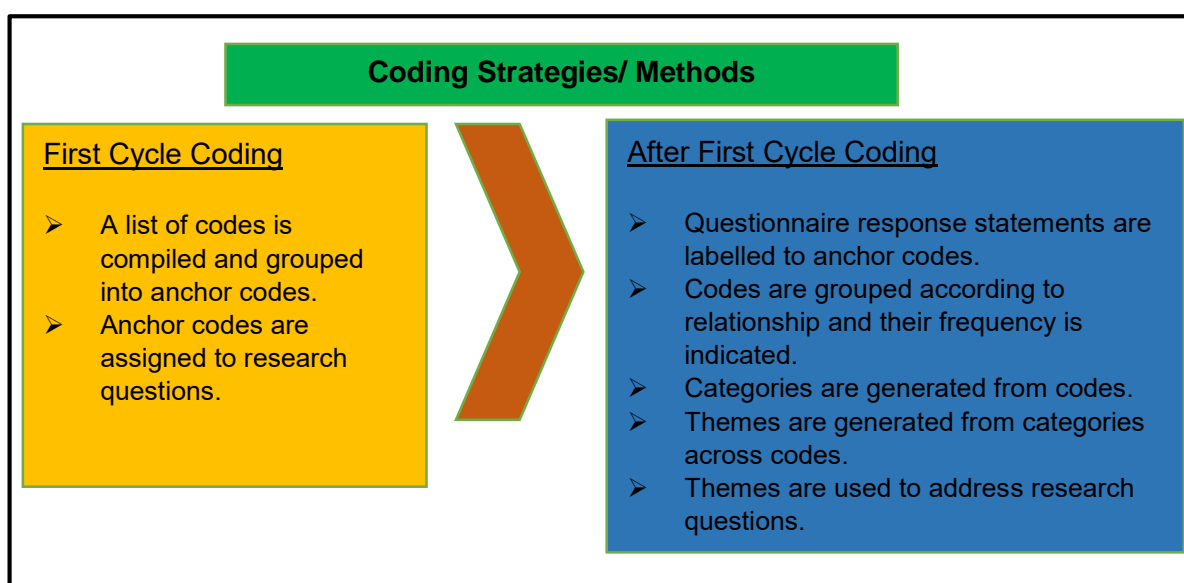


Figure 5.1: Coding Strategies (Own diagram)

A systematic presentation of findings is presented as coding strategies that are displayed in Figure 5.1 above. The coding strategies utilised in this study specify two steps that include, the first cycle coding, and the after first cycle coding as first and second order findings which culminate in generated themes (Saldana, 2013:11).

#### 5.4.2.1.1. Step One: First Order Findings

During first cycle coding, a list of codes was compiled based on the open-ended questions in the questionnaire and were grouped into anchor codes also known as deductive or priori codes (Costa, undated:13). According to Costa the anchor codes are made up of main concepts depicted from the research question and the research topic. They are linked to the second stage of coding as the analysis proceeds for sorting and categorising (see Appendix C). Subsequently, the anchor codes were assigned to the research questions as presented in Table 5.11 below.

Table 5.11: First Cycle Coding

Type of Research Question	Research Questions	Coding Methods	Codes
Epistemological (understanding SMS phenomenon)	What development framework can be proposed for personal capacity development of SMS members in the DOD?	Descriptive Coding (describes situation)	Institutions of Learning; Legislation; Strategies; Policies; Profiles; Learning Environment
		Initial Coding (deductive)	Training management; Learning System; Enforcing Participation; Monitoring; Reporting
	What is the status of governance for management of capacity development for the SMS members in the DOD?	Descriptive Coding	Institutions of Learning; Legislation; Policies; Profiles; Learning Environment
		Evaluation Coding	Not part of ETD Programmes; Lack of Policies; No Evaluation; Reporting; Work Performance; Policy Development; Enforcement; Lack Skills; Capacity Assessment; Proper Skills Audit
		Magnitude/Emotion Coding	Good Conduct; Poor participation; Upholding of Values; Good Governance; Negative Culture; Good Policies
	How can development need of the SMS	Magnitude/Value Coding	Common M&E; Separate M&E; Proper Programme Coordination;

Type of Research Question	Research Questions	Coding Methods	Codes
	members be made visible for planning, monitoring, and evaluation?		Good Governance; Good Policies; Non-available ETD Doctrine
		Process/ Action Coding	Identify Stakeholders; Competency Assessment; Identify Programmes; Complete Pas; Identify Competence Development Needs; Review SMS Policy; Plan; Implement; Monitor
	What framework can be developed with unique elements to manage personal capacity development of SMS in the DOD?	Descriptive Coding	Legislation; Policies; Learning Environment; Lifelong Learning; Code of Ethics; Learning Path; Common Learning; Common M&E

Table 5.11 above denotes the groups of codes identified from the initial list of codes assigned through manual coding of questionnaire responses from participants as first order findings. Before codes were assigned to the research questions, it was important to identify the type of question the study is investigating. In so doing, an epistemological type of question is identified as it addresses the theories of knowing and understanding the SMS phenomenon (Saldana, 2013:61). In the process of coding and recoding of data to refine the codes from the list, different coding methods were utilised, including a) the elementary method for initial coding (breaking down data into discrete parts), descriptive coding (assigning topics to aspects of data), and process coding (giving value to numbers); b) grammatical method for magnitude coding (assigning intensity and frequency to code); and c) affective method for evaluation coding (assigning judgement to data) (Saldana, 2013:11).

As depicted in Table 5.11, the primary question that addresses the kind of framework to be proposed for personal development of SMS members in the DOD was assigned anchor codes derived through initial and descriptive coding methods. The initial coding method assisted in breaking down the data for examination and comparison of responses while searching for processes that may bring solutions to the matter in question. The outcome of the initial coding method was a refined list of codes that included the following: training management; learning system; enforcing participation; monitoring; and reporting. The descriptive coding method produced: institutions of

learning; legislation; strategies; policies; profiles; and the learning environment needed for enhancing participation.

Secondary questions were addressed through the anchor codes from the elementary method for initial coding, descriptive coding, and process coding. The elementary method delivered these refined codes: legislation; policies; learning environment; lifelong learning; Code of Ethics; learning path; common learning; common M&E; identify stakeholders; competency assessment; identify programmes; complete PAs; identify competence development needs; review SMS policy; plan; implement; and monitor. In addition, the grammatical method for magnitude coding assigned such codes as common M&E; separate M&E; proper programme coordination; good governance; good policies; non-available ETD doctrine. Affective method for evaluation coding delivered these codes: lack of policies; no evaluation; reporting; work performance; policy development; enforcement; lack skills; capacity assessment; and proper skills audit for baseline.

To close the process of coding in the first cycle, the theming data was applied, as reflected in detail in step two.

#### 5.4.2.1.2. Step Two: Second Order Findings

Step two follows as a transitional step between first cycle coding and second cycle coding. In this step, the questionnaire response statements were labelled to anchor codes. In the process, new coding methods were selected for analytic transition where data was reorganised before categories were formed (Saldana, 2013:187). The codes were grouped according to the relationships which indicate their number of appearances to form categories. From the categories that were formed, themes were generated to address the research questions as depicted in Figure 5.2 below.



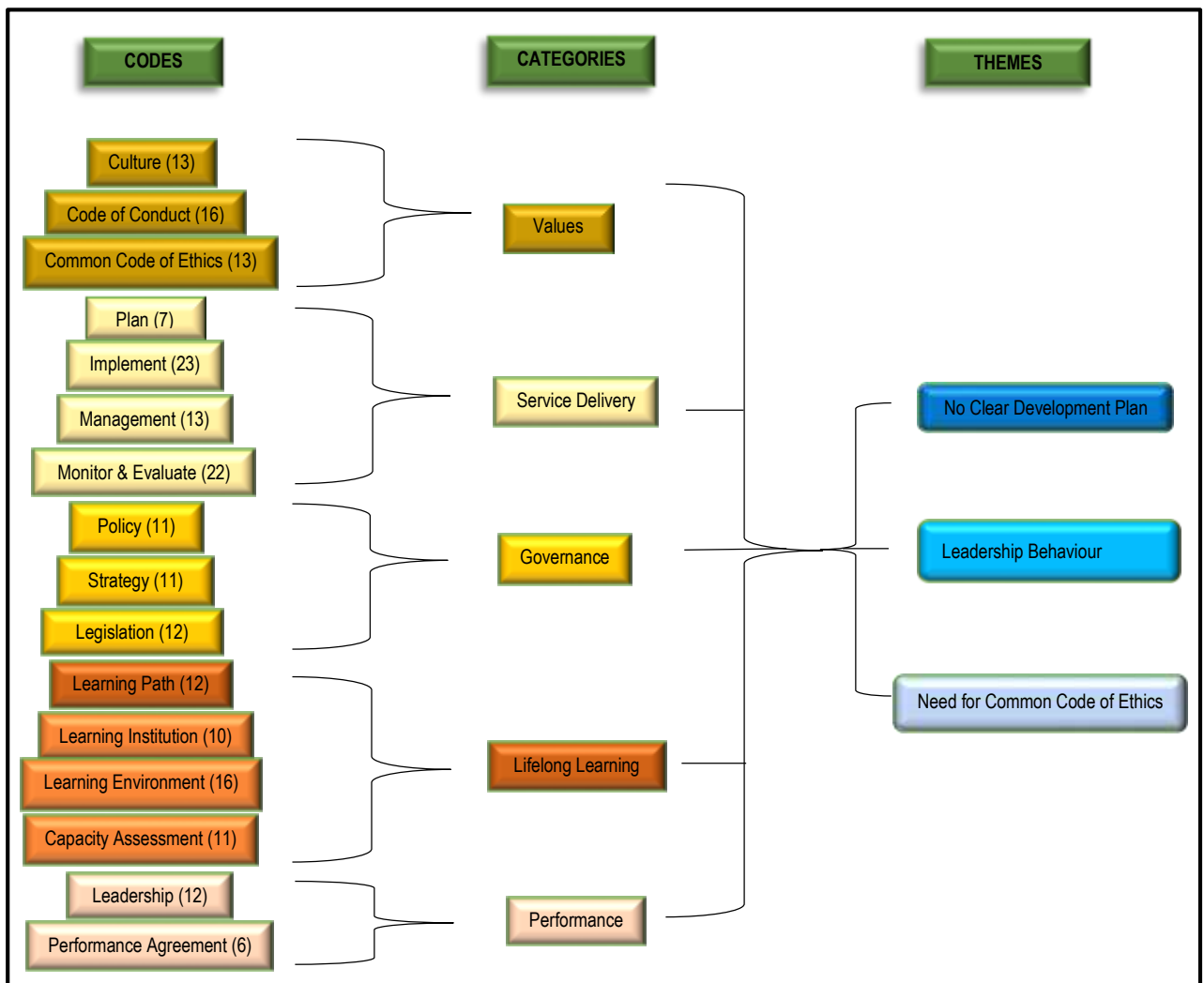


Figure 5.2: After First Cycle Coding Forms Categories and Themes

Data presentation in Figure 5.2 above denotes the groups of codes identified from the anchor codes that were assigned to the research questions with reference to the specific codes. The sequence and the occurrence of the codes were noted as they were assigned from the responses of the participants to anchor codes for the research questions. During the codification process, some of the codes fell away as they were of less priority to others, for example, development plans, management plans, and others, fell away as “plans” could accommodate all kinds of plans among the codes. Furthermore, for proper coordination, the frequency was indicated for the number of appearances as the codes were assigned to parts of data. Hence, the numbers indicated next to each code as depicted in Figure 5.2 above.

Evidently, the process of theming the data proceeded from coding followed by categorisation that resulted in the five categories. These categories were formed from clustering the codes based on their relationships and analytic reflection. The three themes that were formed became the statements that may interpret what the data meant in relation to the SMS phenomenon. Each theme is explained below to bring essence to the study.

#### 5.4.2.1.2.1. THEME 1: No Clear Development Plan

The questionnaire responses exposed this theme, since the questionnaire was structured in such a way that all three levels of capacity development (environmental, organisational, and individual levels) together with the types of leadership and management capacities available in the DOD were investigated. From the questionnaire, Section A investigated the biographical details of SMS participants to confirm from the different Services and Divisions the status of the SMS members in relation to ETD opportunities made available to them. It was followed by Section B that addressed the core issues of the three capacity development levels. Lastly, Section C dealt with the functional and technical competencies that are required to provide direction in the formulation of policies and other capacities associated with SMS expertise.

The lack of a clear development plan transpired from several ideas from the participants' responses that led to the cluster of codes comprised of planning, implementation, management, monitoring, and evaluation that were categorised in relation to service delivery, a key component in the PAs of SMS members. The codes for this category interlink with the codes for lifelong learning and performance, which all together talk directly to this theme. Hence, the participants' responses in addressing the question on the impact made by policies on development goals of the SMS indicate that the policies do not enforce mandatory or compulsory participation of SMS members in the development courses. This may result in some SMS members neither participating in, nor attending development courses at all (ETD4). In addition, participants indicated that SMS members do not attend courses at all, with the few exceptions of SMS officers on SDSP who attended because of promotions and appointment before completing the SDSP (HR1).

Furthermore, three of the participants (ETD1; ETD2; and HR2) felt that there is no proper system driving the development of SMS in the DOD other than to comply with DPSA generic prescripts which need to be addressed by ETD policies (HR2). Consequently, it became visible in this theme that there is a need to address a gap that exists among internal stakeholders that relate to the lack of coordination between Directorate Career Management and Directorate ETD. This gap also hinders proper development of SMS members, for example, lack of policies that enforce submission of competencies requiring development to Directorate ETD for newly appointed PSAP SMS members after they completed competence-based assessment (ETD2). This adds to the lack of submission of training requirements outlined in the PDPs from the PAs of SMS members.

#### 5.4.2.1.2.2. THEME 2: Leadership Behaviour

The leadership behaviour theme is revealed by the codes that form the values and the performance categories including, culture; Code of Conduct; common code of ethics; leadership; and performance agreements. Having observed the DOD reports and the participants' responses, this theme addresses the observations made by participants in relation to the leadership behaviours that exist between subordinates, peers, and supervisors. As depicted in Figure 5.3, the codes from the categories for values, services delivery, governance, and performance revealed certain behaviours from the DOD SMS members that are of interest to the current study. Some of the extremely unexpected behaviours led to the establishment of the MTT by the Minister of Defence, which, together with accountability documents was observed during investigation to establish the root cause of such behaviour and look at the mechanism to alleviate such behaviours. The MTT report shows evidence of instances of sexual harassment, sexual exploitation, and sexual abuse within the regular force, reserves, and PSAP influenced by a loose reference to culture which the officials offer as justification when they engage in such practices (DOD, 2020b:17). It is further observed from this report that the leadership is the body to drive transformation by setting ethical, moral, and professional standards for the organisation.

In addition, the DOD annual reports demonstrated, with reference to Table 5.7 above, a trend of non-compliance to signing of performance agreements, which is observed

as a behaviour that is detrimental to subordinates. Together with participants' responses, evidence provided from the codes and their categories that talk to this theme demonstrate some efforts made by the DOD to enhance some of the competencies in relation to communication, people management, problem solving and analysis, service delivery innovation, financial management, knowledge management, change management, strategic capacity, and leadership (ETD4). According to this participant, these efforts are meant to enhance an individual and the department.

#### 5.4.2.1.2.3. THEME 3: Need for Common Code of Ethics

The theme of a need for a common code of ethics transpired from the responses from participants that led to such codes as culture, code of conduct, and common code of ethics that formed the category on values depicted in Figure 5.2 above. The responses from participants explore much related to this theme, even in addressing other questions other than those that were based on the code of conduct and the code of ethics. Hence the double-digits high frequencies on each code is depicted in Figure 5.2 above. The DOD annual report (DOD, 2020a:159) confirmed the need for finalisation of the Ethics Strategy, a need also reported by the participants in many of their responses for common understanding and structured ethical environment. Subsequently, the governance category with policy, strategy, and legislation as the codes that talk to adherence to policy governance also addresses this theme. This is attested to by participants' responses and DOD accountability documents as they address certain questions that link to these codes.

In response to the question asked on the code of ethics, 60% of participants responded in support of a common code of ethics for DOD officials. Furthermore, probing questions on supporting a common code of conduct revealed that, for the DOD to become more efficient, it is critical for DAP and PSAP officials to have a common understanding and approach to the work environment (ETD5). Also, the fact that both DAP and PSAP work for the DOD with different approaches and expertise towards achieving the same goals according to the DOD mandate, the common code of ethics will substantiate that. When SMS knowledge, skills, and competencies are pulled together, they may bring efficiency to the DOD (HR3).

Furthermore, to address the issues related to ethics, the DOD annual report for FY 2019/20 indicates that the DOD Ethics Management Policy is in the process of being finalised and institutionalised, in the interest of a structured ethical environment. Such a prescript will provide guidelines for ethical conduct and consequence management. The report also emphasises that non-compliance may result in uniform members being charged in terms of the Military Disciplinary Supplementary Measures Act, whilst Public Service Act Personnel may be subjected to the Public Service Coordinating Bargaining Council Resolution (PSCBCR) 1/2003. SMS members may be disciplined in terms of Chapter 7 of the SMS Handbook (DOD, 2020a:179). The MTT report then indicates the urgency for the promulgation of such a policy and other policies and structures to be modified to finalise draft sexual harassment policy and Ethics Strategy, Military Discipline Bill, and lastly, developing a comprehensive and appropriate education and training curriculum (DOD, 2020b:14). The next topic dealt with document analysis from the DOD accountability documents in respect of the areas that address capacity development of SMS in the DOD.

#### 5.4.3. Findings from Document Analysis

Document analysis played a crucial role during triangulation to bring understanding of the critical issues that could not be captured well from the participants' responses. The most critical areas that came out clearly from the documents were those related to the strength of the SMS, as it is the result of recruitment, training and development, and turnover. The DOD annual reports provided clear indications for the data that resulted in strength, as depicted in Table 5.5 above. The item, recruitment and appointment of PSAP SMS indicated only 8 SMS member appointments at 10% over the period 2016 to 2019, thus depicting a low turnaround time when it is checked against the time of the availability of vacancies from annual reports over the years in question (DOD, 2017b:174; DOD, 2018:159; and DOD, 2019:168). Consequently, the long vetting process for prospective candidates prescribed by the DPSA delays the recruitment process and makes it impossible for appointments within the prescribed period of 12 months. Moreover, the DOD profile is affected by the turnover. Evidence indicates that there was only 1 transfer to the DOD, while there were 3 transfers from the DOD to other government departments, among which was one of the eight appointments (DOD, 2020a:174).

It is also from the DOD annual reports that data was demonstrated the demographics for SMS in the DOD, as depicted in Table 5.4 on disparities for gender and race. Furthermore, the confirmation of SMS not participating in training and development was confirmed in the accountability documents where zero participation was recorded for all the years. Hence, the need for a clear development plan for SMS is recommended. To apply learning and improvement in the performance management system, the Mid-Term Review addressed the area of concern from participants which indicates that proper utilisation of the PMDS does not mean it will develop SMS members to be leaders with the character quality: having the transformational leadership style expected of efficient and effective leaders in the DOD (DOD, 2020b: 17). In that regard, relevant interventions that address the development needs of the SMS are critical, based on the Personal Development Plans (PDPs) that provide the areas of development in the PMDS, including the outcome of competence assessment for the newly appointed SMS members. Over and above, the recently promulgated MTT report among the accountability documents was important to bring understanding on areas that were well researched, and to reflect on recommendations that are not in place yet. Finally, the Parliamentary Monitoring Group report (Parliamentary Monitoring Group, 2019:4) addressed the change of roles of the DOD and the SANDF, which demand a changed strategy, and transformation policies that accommodate, among other demands, command and control structure, and performance management to be implemented.

## 5.5. SUMMARY OF THE FINDINGS

In summary of the findings from the study, the themes generated from the responses of the participants and accountability documents were tabulated with their meaning, and measured against evidence from verbatim participant responses, including accountability documents of the DOD.

Table 5.12: Summary Table for Themes

Themes	Meaning	Evidence
<b>THEME 1</b> No clear Development Plans for SMS.	Development plans available for SMS members in the DOD are not compulsory for both DAP and PSAP. Development plans are not according to competency assessment results and Performance Development Plan (PDP).	<u>Responses from participants:</u> "these policies do not enforce mandatory or compulsory participation of SMS members in the development courses resulting to some SMS members not participating nor attending development courses at all." (ETD3)
<b>THEME 2</b> Leadership Behaviour.	The DOD aspired leaders are a link between leadership behaviour and the teams' and organisation's performance. The behaviour is examined when managers influence bosses, peers, subordinates, and stakeholders through networking, external monitoring and representing the organisation.	<u>Responses from participants:</u> "the SMS members lack interests pursuing training and development activities or initiatives." (HR5) "In order for the DOD to become more efficient, it is critical for DAP and PSAP officials to have a common understanding and approach to the work environment." (ETD4)
<b>THEME 3</b> Need for Common Code of Ethics.	The defence culture that displays unprofessionalism can only be addressed by means of a common Code of Ethics that is common to both DAP and PSAP. The SMS members should be the custodians of the code and live by it to influence other officials and the community at large.	<u>Response from participants:</u> "In order for the DOD to become more efficient, it is critical for DAP and PSAP officials to have a common understanding and approach to the work environment."  <u>The DOD annual and MTT reports:</u> "The DOD Ethics Management Policy is in the process of being finalised and institutionalised, in the interest of structured ethical environment." (DOD, 2020a:159)  "Leadership has a responsibility to drive transformation needed in the DOD by setting ethical, moral, and professional standards." (DOD, 2020b:17)

Table 5.12 above provides a summary of the three themes revealed through the analysis of the questionnaire and a content analysis of accountability documents of the DOD. The meaning of each theme is explained against evidence from the participant responses also summarised in Appendix C and the documents analysed.

## 5.6. CONCLUSION

Towards concluding this chapter of presentation of the findings, a summary of the findings was presented which demonstrated the themes generated from participant responses and the accountability documents of the DOD. This was an outcome of the open coding, data analysis, and the labelling of material according to categories and themes. Based on the research aims, it is to next present recommendations towards

a development of a capacity development framework for SMS in the DOD, based on the findings in this study. The proposed framework will also be made visible.



## CHAPTER 6: DISCUSSION AND INTERPRETATION

### 6.1. INTRODUCTION

The presentation of the findings and data analysis in chapter five revealed themes that exposed that there a) exist no clear development plan for the SMS in the DOD; b) the leadership behaviour that serves as a link between teams and organisation performance of aspiring leaders in the DOD have to be displayed by members in the SMS echelons (Department of Defence, 2014:11-10); and c) there is a need for a common code of ethics to embrace the one-force concept of the DOD, which incorporates both regular and reserve forces, including civilian officials (Department of Defence, 2014:14-7). This chapter provides the main findings from the research and links the literature to the outcome of the research through an integrated conceptual discussion. The discussion is based on the summary of findings presented in the previous chapter that addressed the research questions on capacity development within the context of the DOD.

### 6.2. INTEGRATED CONCEPTUAL DISCUSSION

At this point, a brief presentation of the results and their meaning is offered within the context of what is known about the research topic. New insights based on the findings are explained. The primary research question of the study was addressed through a questionnaire administered to a small sample. The questionnaire was triangulated (Korstjens & Moser, 2018:121) with document analysis of accountability documents of the DOD, from which data was gathered, data which revealed several conclusions pertaining to the first research objective (to analyse the status of governance for management of capacity development of SMS members in the DOD). Furthermore, triangulation uncovered the ideal or desired situation in the DOD as elucidated by responses to and by well-researched MTT and much engaged PMG reports that put the analysis in context. The discussion also includes a critical evaluation of the basic theories and the methodology utilised in the study as revealed through findings in literature.

### 6.2.1. Key Literature Findings

The process of selecting and reviewing literature assisted the researcher in synthesising empirical and theoretical findings, assessing the strength of the evidence, and identifying areas of future research. This was made possible by comparing the research findings with those of other researchers from the two chapters of the literature review. The areas of concern in the study that were of great importance are those that are linked to DOD legislation, policy mandates, HR system, and individual and DOD organisational performance. The said areas are discussed below to provide a detailed analysis of the results in answering the research questions.

#### 6.2.1.1. DOD Legislation and Policy Mandates

During document analysis, it was realised that the PMG report provides the emphasis on changed roles of a transformed DOD, those of being a protector in a wider range of applications, a strategic enabler, and a catalyst of change (Parliamentary Monitoring Group, 2019:4). The transition of roles therefore moved to ensure the defence of the sovereignty of the RSA, protection of strategic interests, and support for interventions in Africa. This change presents a challenge to the members in the SMS echelons of the DOD who must carefully scan the strategic environment for present and future conflicts, provide methods from doctrinal approaches that involve resources and strong policies to support the strategic outcomes captured in the SA Defence Review 2015 (DOD, 2014:11-2). It is visible from points of view of participants of the study that the existing policies do not address the transition completely, as most practices are still based on policies of the previous regime.

Furthermore, the list of the DOD ETD policy mandates presented in Chapter 5 lacks some of the critical legislation including, the Public Service Act of 1994 that mandates the appointment of Defence Civilians who should be developed in line with National prescripts to professionalise the Public Service. It also includes the Public Service Regulation, 2016, which in turn includes the code of ethics for public servants which also alludes to the ethical conduct and discipline expected from public servants. Thus, a recommendation for their inclusion is made. Furthermore, relevant training can be provided to enhance the performance of the Department of Defence by adding SAQA Act 58 of 1995. The Act will oversee the implementation of the NQF that also

coordinates the sub-frameworks for international comparability of standards and registered qualifications by operationalising NDP Vision 2030 for modernisation of professional, vocational, technical, and academic (PIVOTAL) programmes (National Planning Commission, 2020:4). Such programmes provide training to address gaps in areas of critical and scarce skills. Also important are other statutory mandates, such as the HRDSS, the Public Service HRD Strategic Framework III, and the DPME Capacity Development Strategy 2014–2020. The HRDSS is critical for relevant, current, and emerging education and training-related strategic frameworks, while the Public Service HRD Strategic Framework III provides the four pillars with special reference to capacity development. Lastly, the DPME Capacity Development Strategy 2014–2020 provides strategic leadership and coordination to improve human and organisational performance in government. The critical element of implementing this mandatory and statutory legislation is the impact they have on the HR system of the DOD.

#### 6.2.1.2. DOD Human Resource System

The study emphasised during the literature review in Chapter 2 when discussing HR in the public service that, HR is an asset that is central to government's efforts to execute its functions, which makes HR to be indispensable to government beyond even the availability of other resources (van der Westhuizen, 2016:4). The researcher realised that the period of investigation for this research project started at the time when the DOD Ministerial Priorities from the MTSF over the period 2015-2020 were implemented. The implementation of the priorities was related to Milestone 1 of the Defence Review 2014, based on DOD renewal and modernisation (DOD, 2017b:63). From the HR renewal and modernisation perspective, the strategic leadership of the defence programme was to be implemented over the short-, medium-, and long-term renewal of the HR. Subsequently, the DPSA implemented the directive on compulsory capacity development, mandatory training days, and minimum entry requirements for the SMS in the public service. The DPSA initiative became a reinforcement to the intervention at the time of implementing HR renewal in the DOD, thus ensuring that the HR personnel profile in the HR function meet both current and future defence obligations by:

- a. Right sizing the personnel component by means of initiatives to limit the HR expenditure as a DOD priority and managing down supernumerary members to not more than 2% of the total structure.
- b. Strengthening the DOD Value Chain from recruitment, training to separation by means of a recruitment system that is devolved to Services and Divisions to attract the best young men and women available in SA; a retention strategy to retain professional and specialist military officers; and establishing a Defence Academy that provides military professional ETD.
- c. Renewed ETD system by establishing the mechanisms to recruit, educate, train, and develop quality future Officers, Warrant Officers, Non-Commissioned Officers, and Defence Civilians by means of professional development learning paths.
- d. Military Professionalism by enhancing a culture of Military Professionalism amongst Leadership through ETD.
- e. Effective Military Disciplinary System strengthened to ensure the effective administration of justice.

#### 6.2.1.2.1. SMS Strength in the DOD

The Ministerial Priorities had a significant impact on the strength of the DOD, particularly the SMS in areas that affect SMS strength and demographics, recruitment, skills development, and turnover. In that regard, the SA Defence Review 2015 defines the defence personnel system as the most complex with its respective Regular Component, Reserve Component of the Defence Force, the Civilian Component, the Defence Secretariat and the Ministry, including members of the Auxiliary Service (Department of Defence, 2014:14-7). However, the SMS echelon is found in the Regular Component, the Civilian Component of the Defence Secretariat, and the Ministry of Defence. Furthermore, the distribution of SMS members in the DOD Services and Divisions is determined by the Defence mission, goals and tasks, the derived force structure and post establishment table, including the appropriate balance between the ranks and salary levels. From the results, the distribution demonstrated a trend that is starting to change in response to the HR renewal strategy, as it talks to right-sizing the personnel component of the DOD in support of the implementation of SA Defence Review 2015, where the strength of the SMS was reported to be reduced

by 11,4% in 2020. It has also transpired from accountability documents of the DOD that the racial and gender composition of South African society is represented in the DOD through recruitment, accelerated training, and lateral transfers from other government institutions. But lateral transfers within the DOD remains a challenge, caused by the capacity development programmes for public servants that are open to civilian officials only in the DOD, which makes it a choice for other SMS members to participate.

#### 6.2.1.2.2. Recruitment of SMS in the DOD

Recruitment in the DOD includes both PSAP and DAP, even though these two groups of officials are recruited differently. In this regard, for the DAP category suitably qualified persons are not recruited through a post advertisement for the relevant SMS level; instead, existing officials within get promoted during the annual succession planning process of the DOD (Department of Defence, 2014:9-18) as discussed in Chapter 3 of the study. Furthermore, the appointment of officers at the strategic level of the professional learning path for officers discussed earlier, shows complete reliance on the experience gained in the career path of the officer. Although, said experience is accumulated over a specific number of years stipulated in the professional learning path and the career learning path, which does not guarantee promotions for all officers that meet the requirements. This gap can be closed by officers taking the career opportunities available in the civilian component of the DOD, which needs preparedness of the incumbents to take relevant developmental courses (Department of Defence, 2014:11-10). Furthermore, the recruitment of officers is not immune to political interference. If not that, it is behaviours linked to sexual misconduct and corruption that dominates government institutions when it comes to the appointment of SMS members as reflected in the DOD MTT report (DOD, 2020b:22). In addition, the promotions for the period of the investigation have indicated 70 SMS members promoted, as reflected in annual DOD reports of the three consecutive years, 2016 to 2019 (DOD, 2017b:160; 2018:166; 2019:179).

Accordingly, officials in the PSAP category are recruited through advertising of vacant, structurally-financed posts. These posts are either advertised internally or externally to be accessible to the entire pool of potential applicants in compliance with Public

Service Regulation, 2016 (Department of Public Service and Administration, 2019:no pagination). The incumbent must meet all requirements for the post, including qualifications, skills competencies, and relevant experience. Such an applicant will be appointed on merit basis, even though the appointment of the SMS members in government institutions is often characterised by degrees of political interference, a reality which may best be defeated by professionalising the Public Service, including the DOD (DPSA, 2020:38). The recruitment and appointment of 8 SMS members over the period 2016 to 2019 depicted a low turnaround time when it is checked against the time of the availability of vacancies reflected in annual reports of the DOD over the years under investigation (DOD, 2017b:159; 2018:166; 2019:157).

Furthermore, DOD annual reports indicate that the long vetting process for prospective candidates prescribed by the DPSA delays the recruitment process and makes it impossible for appointments within the expected period of 12 months. Moreover, the DOD profile is affected by low post turnover, as there was only 1 transfer into the DOD whereas, simultaneously, there were 3 transfers from the DOD to other government departments (DOD, 2020a:174). Of particular concern is that, none of the reports indicated appointments of SMS members from being DAP to PSAP, if the DOD is serious with preserving expertise through the SMS, especially with the existence of SMS members in the Military Academy that will need such expertise at SMS level. The effectiveness of this approach depends on the kind of training and development provided to the members of MMS and SMS in preparation for exiting the DAP system and translation to the civilian dispensation. The said systematic translation is not restricted to the DOD, but open to the broader Public Service as is the norm in other countries such as Zimbabwe and the USA as discussed in Chapter 3 under Benchmarking.

#### 6.2.1.2.3. Training and Development of SMS

The DOD HRD Strategy attained its direction and intent from the DOD Strategy to enable capability and capacity for the development of personnel through policies, strategies and procedures aimed at meeting mandated constitutional commitments. The direction is the renewal and modernisation of training and education over the period of ten years from 2016 to 2025, based on the 5-point plan that addresses

military professionalism, leadership, and repositioning of the DOD as a modern, professional, and disciplined force. Through renewal and modernisation (Daniels, 2019:7), the DOD would be able to deliver outstanding leaders for Defence excellence and success in support of the NDP and the new growth path of the SA Defence Review 2015 (DOD, 2017a:no pagination).

Subsequently, renewal and modernisation were made possible by the design and development of learning paths for professional development of the three categories of DOD officials among which two are the officers' learning path and the civilian learning path, the DOD have shown to be short-sighted in developing its SMS members. The existence of such a gap is revealed in the ETD internal environmental analysis that emphasises the implementation of the DOD HRD Charter (Cradle to Grave), an agreement meant to provide a holistic total value chain from recruitment to separation (Department of Defence, 2014:14-7). Based on the principle of Charter, Arms of Services are to recruit potential officers according to the newly developed Officer's profile which was only accepted in 2020. Furthermore, HR renewal was to ensure that the personal profile meets both current and future defence obligations. Even though the learning paths for officers and civilian officials provide opportunities for studying to the Master's level through funding provided by the DOD, such opportunities are taken largely by officers and civilians post levels lower than that of SMS officials as revealed by DOD Annual Reports from 2016 to 2019, in which zero participation by members of the SMS is recorded.

Considering the above, it is understandable that democratic transformation and military professionalism have brought into existence new skills and competencies that are more closely related to civilian expertise than military now involves itself primarily in civilian tasks (Hachey, et al., 2020:214). Therefore, training that is common for both DAP and PSAP is critical, as confirmed by participants in this study, for the effective professionalisation of the DOD, especially at SMS level. The officers' learning path provides support to a clear career path from recruitment of an officer from the lower ranks to a point of acquiring beyond the first degree for example, postgraduate diploma or honours degree. These officers at the strategic level should continue learning and obtain qualifications relevant to the demand of their posts that are coupled with

leadership and management skills. For the effective training and development of officers that accommodates both military instructors and academic lecturers for SMS members, as recommended by Esterhuysen (2011:2), in order to provide an excellent posture of the military in the eyes of SA citizenry, the officer's and civilian learning paths need to be reviewed.

The civilian learning path is implemented through the instruction promulgated in 2015 on entry requirements into SMS posts from anywhere in the public domain, instead of considering only promotions within the DOD (DOD, 2017a:no pagination). That instruction directs services and divisions to adhere to compulsory capacity development, Compulsory Induction Programme (CIP)/ Executive Induction Programme (EIP) participation, technical/ professional capacity development, mandatory training days, and minimum entry requirements into the SMS and requirements for movement within the SMS echelons. Alignment of the civilian learning path incorporates the Integrated Management Development Programmes (IMDPs) with Executive Development Programme (EDP) offered by the University of Pretoria and other recognised institutions to SMS members through the NSG at Master's level. The focus on the IMDPs is on the development of competencies that are directed towards supervision, management, and leadership with a comprehensive career development framework for supervisors, managers, and leaders. This is one of the reasons that one of the participants in this study (ETD4) indicated that the training and development of SMS for PSAP is only based in programmes offered by the NSG. This implies that, beyond the common provision from the programmes, the developmental gap may be addressed through PDPs and the outcome of a competency assessment. This process is outlined in the professionalization framework from the NSG (2020:26) by means of the proposed value chain from recruitment through the career progression.

#### 6.2.1.3. Individual and Organisational Performance

Performance in the DOD is the process that happens in the organisational environment where priorities are set by the Minister of Defence and Military Veterans for execution over a specified period, in this case from 2015 - 2020. In this regard, priorities were set up for Financial Year (FY) 2018/19 – FY2020/21 to enhance the



execution of the five-year programme in the DOD Strategic Plan for 2015 - 2020. This strategic plan was meant to realise the DOD Mandate with priorities that include Strategic Direction, Strategic Resourcing Direction, Organisational Renewal Direction, HR Renewal Direction, Capacity Sustainment, and Ordered Defence Commitments, all of which provide direction for sub strategies and policies to be developed. Consequently, in this period, milestone 1 of “arresting the decline” was never sourced by the Treasury to achieve the plan (Daniels, 2019:5), which brings confusion to some DOD officials when it comes to the implementation of the SA Defence Review 2015 (DOD, 2018:46). That on its own has a potential negative impact on performance of the organisation, which directly impacts individual performance in various ways.

#### 6.2.1.3.1. Individual Performance

The individual performance of the SMS is one of the key performance elements in the PMDS which link the DOD main deliverables (DOD strategy, APP, and/ or operational plan). Hence, the detailed work to be performed is outlined in the form of Key Responsibility Areas (KRAs) in line with the individual’s job reflect the DOD programmes. It is critical to emphasise that when employees are involved in the PMDS, they do not only benefit personally from the results, but the organisational effectiveness is improved. The accomplishment of the organisational mission and goals is based on planning work and setting expectations well; continuous monitoring of performance; developing the capacity to perform; periodically rating performance; and rewarding good performance. In addition, the need for departments to apply learning and improvement in the performance management system, through which the review will evaluate its effectiveness (DPSA, 2003:8) should be done properly. On that basis, if the review is not done properly, it remains difficult to develop competencies that are to be utilised to track performance linked to strategic objectives and capabilities of the organisation. The literature review revealed that the DPSA has made that possible by the inclusion of the Batho Pele Principles (BPPs) (DPSA, 2016:6).

In addition, the DOD enhanced the efficiency of SMS members by including Key Development Areas of both categories of the SMS, the close examination of core management competencies (CMCs), identification of job-specific developmental

needs, and deployment to the coalface of service delivery with some areas not attended by the learning paths (DOD, 2021:6).

According to Rossouw (2004:145), the daily use of the PMDS reveals flaws and inherent problems that must be reported in the compliance documents of the department to be addressed before they become insurmountable. This does not mean the PMDS will develop SMS members to be leaders with the kind of transformational leadership style expected of efficient and effective leaders, but will enhance the prevention measures that hinder delivery and track performance. In that regard, relevant intervention that addresses the development needs of the SMS is critical, based on the Personal Development Plans (PDPs) already discussed in Chapter 3. Rossouw (2004:145) also views the Core Management Criteria (CMC) utilised in the assessment of the SMS in SA as an element that supports other styles of leadership. Rossouw's view point focuses on outputs such as active management by exception and transactional leadership other than transformational leadership aimed at transforming and developing the organisation.

The Code of Ethics is discussed in the SMS Public Service Handbook with the purpose of contributing to the development of the high ethical standard of the SMS, which is the main attribute that produces principles of what is just, good and proper conduct in every situation (DPSA, 2003:1). The DOD has two Codes of Conduct for PSAP and DAP respectively, as well as the SMS Handbook to instil good behaviour in all SMS officials. Through the Code of Conduct the DOD has established an ethical culture that promotes values that portray the organisation's stewardship (DOD, 2019:137). Furthermore, the DOD commitment to organisational values that are rooted in individual values, codes of conduct, and unit cohesion has been a practice that led to disciplinary procedure instituted for those officials who do not comply. Such codes are regarded as rules that translate ideals and values into everyday practice that underpins the DOD culture mandated by different legislation that subjects the DAP and PSAP categories of DOD officials (DPSA, 2003:2). It is therefore critical to understand that the institutional culture is effective only if officials are subjected to disciplinary action upon transgression.

In this regard, DAP are subjected to the Military Disciplinary Supplementary Measure Act (DOD, 1999:17), while PSAP are subjected to the Public Service Regulation, 2016 (Department of Public Service and Administration, 2019:no pagination) and the Public Service Co-ordinating Bargaining Council (PSCBC) Resolution 1 of 2003. However, the SMS, both DAP and PSAP are also disciplined based on Chapter 7 of the SMS Handbook which stipulates the disciplinary code and procedures, and the incapacity code and procedures. In addition, the SMS Public Service Handbook provides Chapter 6 to give meaning to the competency of honesty and integrity embedded in the SMS Competency Framework (DPSA, 2003:2). Both the Code of Conduct for DAP and PSAP serve as guidelines to employees that have explicitly made commitment statements on ethical conduct, including either refraining from, or reporting corruptive and inappropriate behaviour. These guidelines are a tool to promote the development of skills, enhance professionalism and restore trust in the Public Service and the DOD through good relations with self, others, the organisation, and the public (Yusuph et al., 2017:2). Consequently, the Code of Conduct does not seem to be easily implementable to both DAP and PSAP, since there is no consequence management. Hence, the deduction from current research participant responses reveals a need for a common Code of Ethics that will address the gaps that are common to both DAP and PSAP. This is also supported by the DOD MTT report that indicated that there is an urgent need for consequence management to be implemented for misconduct in the DOD (DOD, 2020b:19).

#### 6.2.1.3.2. Organisational Performance

Having understood the status of the DOD from the PMG point of view, that the DOD is in a period of transformation which reveals the strategic environment for present and future conflicts that demand a different role for the military in a democratic society (Parliamentary Monitoring Group, 2019:4). This view is in line with the National Planning Commission's (NPC) report and the NDP as they emphasise the need for SA to have an institutional framework to support policy implementation and oversight regulation of government institutions (National Planning Commission, 2012:383). The demand highlighted by this view impacts resource distribution and strong policies that should support the strategic outcomes from the new defence strategic intent, including HR. The organisational performance as one of the critical key performance elements

of the PMDS is based on the APP in which the DOD objectives, performance indicators, and targets are outlined in the yearly plan. Hence, the current study analysed some of the accountability documents of the DOD to determine performance outcomes in this area. In addressing issues of performance, the DOD established an audit committee that has produced a system of controls that provided reasonable assurance on the safeguarding of assets, proper management of liabilities, and working capital within the PFMA, and protocol on corporate governance (DOD, 2019:151). Subsequently, some areas of dissatisfaction from the Auditor-General of South Africa (AGSA) were monitored quarterly on an annual basis for improved control involving governance, accountability, the Management Performance Assessment Tool (MPAT), and the Performance Management Development System (PMDS).

All the accountability documents of the DOD that include, Planning Instrument, Annual Report, Annual Performance Plan, Estimate of National Expenditure, and Financial Statement were submitted on time in all the years under investigation, according to the regulatory framework. This is an indication that the SMS members in the DOD were well-orientated on governance and accountability to comply with legislation, mandates and best practices that promote discipline and morality of the Defence Force (DOD, 2019:137). While this is the case, the approval of the Defence Secretariat Strategy and the Military Strategy in 2018 paved the way for the approval of an HR Strategy that was withheld in 2017 due to these two strategies not being ready at the time. With the approval of these strategies, the DOD was complying with the international law, especially international humanitarian law in a manner that compliance would develop future defence leaders that comprised of Regulars, Reserves, and Defence Civilians through the Defence Academy (Department of Defence, 2014:0-7).

This achievement brings a challenge in the sustainability of the Academy based on the argument that the academic qualifications in the DOD are not the determining factor for promotion. Hence, those who study might not have any contribution to the sustainability of the Academy as lecturers or students, an area that needs further research (Esterhuysen, 2011:5). This concern was revealed by a participant in the present study by referring to the highest qualification course, the SDSP offered by the SA National Defence College, that it is not a promotional course, hence only a few

SMS members participate in the course from among those who missed attending when they were at the MMS level. This, therefore, confirms that there is no visibility of development programmes for the SMS, especially the DAP, and the gap that exists for competence development of PSAP other than the courses from the NSG needs attention in line with the development of future defence leaders. The plan should start with a policy for SMS in the DOD to address issues related to competence development of SMS upon the assessment of SMS members against core issues on cross-cutting capacities for SMS (UNDP, 2007:4).

#### 6.2.1.3.3. The Management Performance Assessment Tool (MPAT)

The MPAT is regarded as a collaborative initiative that is utilised by the public service for monitoring and assessment by means of up to 34 standards set for improved service delivery of government departments (DOD, 2019:137). Furthermore, during 2017 the assessment focus was shifted for MTSF Outcome 12 envisioned in the NDP on an efficient and effective Public Service. Subsequently, since the DOD started utilising the MPAT results during the 2012 cycle to monitor and report performance, there has been a significant improvement in the internal controls that led to enhanced governance and accountability. More importantly, compliance was improved by monitoring regulatory requirements quarterly, resulting in an average stable score of 2.3 against 4 from 2017 to 2018. This therefore meant that the close monitoring by the DOD Accountability Management Committee yielded good results for the department. As a result, the DOD MPAT for the 2019 cycle was incorporated into the APP for continuous monitoring quarterly, since the one for DPSA was terminated in 2018. This initiative also served to enhance compliance on monitoring and evaluation since the DPME no longer utilised MPAT as a compliance tool, but as an analytical tool. In addition to the initiative, there has been ownership, leadership, and an element of transformation in capacity development strategies (UNDP, 2009:21) that involve monitoring and evaluation, even though there is still lack of ethics and values in the DOD (DOD, 2020b:19). The challenge with the DOD is the selective preference of the mandates to implement, and those not to implement. As a result, individual performance is affected more than organisational performance. In the case, regarding the implementation of the DPSA directive that addresses continuous development of the SMS, there should be no choice given to the SMS. The directive is the proper tool

for lifelong learning as it accommodates even military courses that address the development of the SMS.

Once the strategic intervention provided from the DPSA to the SMS for enhanced continuous development is extended to DAP SMS members, there will be cohesion. However, the HR processes on recruitment, retention, training, promotion, and career management should include diverse military personnel to become diverse strategic military and civilian leaders through a reorganised PME with new content. Subsequently, the new content will address diversity, gender, civic education, ethics, and courses that address coalface indicated in the PMDS for the SMS, courses such as Project KHAEDU (the service delivery challenge management capacity building course offered by the NSG). The inclusion of these courses into the curricula for senior leaders is crucial for well-structured capacity development strategy, including monitoring and evaluation processes, especially the Project KHAEDU as it provides clear processes to follow during the said course. Particularly, the consolidated approach between military professionalism and Public Service professionalism is a critical element of capacity development of the SMS for the DOD. It leads to the achievement of good results for enhanced individual and organisational performance.

### 6.3. KEY THEORETICAL AND EMPIRICAL FINDINGS

Due to the similarities between the theoretical and the empirical findings, they are integrated under this topic to prevent duplication, the minor differences thereof will also be indicated. The key empirical findings for the study are embedded in the survey that sourced primary data from the experience and perspectives of DOD HR managers at the SMS level and those acting in their posts. The participants' responses were supported by the documents analysed to either verify or disapprove certain information and patterns revealed by the documents, as revealed by the findings in Chapter 5. In this regard, the small sample from which the data was gathered and verified, offers the researcher confidence that the results provide meaningful findings and insight to be generalised to the whole group of SMS in the DOD and other state institutions with similar systems for the SMS, even beyond the SA borders. Some of the findings reveal the unavailability of the competence profiles during the period of investigation; the recent approval of the Sec Def and the CSANDF Strategies that support compliance

with international humanitarian law; and the implementation of certain mandates, and leaving others that address development and PMDS of the SMS have been distinctly specified to yield a common element in the theoretical and empirical findings. Over and above the lack of a clear development plan and a common code of ethics for the SMS members in the DOD is aggravated by what is in existence when it comes to governance, monitoring and evaluation of the SMS capacity development.

### 6.3.1. Integration with Literature: The Proposed Cyclical Framework for SMS Capacity Development in the DOD

The capacity development framework developed in the study (see Figure 6.1 below) is designed with the understanding of the aim of the HRD framework for serving the SMS members in developing their personal and the organisation's skill set, abilities, and knowledge criteria meant to retain and motivate personnel (Aimmaker, 2016:no page number). However, the DOD Strategic Plan Framework provides alignment of the two complementary agendas, the DOD agenda and the sustained agenda to ensure attainment of the Defence Mandate while ensuring support to government MTSF priorities (Department of Defence, 2012:7). The MTSF therefore serves as a DOD statement of intent that presents two outcomes of the DOD which address the development challenges of SA through the International Corporation, Trade and Security (ICTS) cluster. Subsequently, the importance of monitoring and evaluation is seen from the monitoring and evaluation information provided about performance of policies, programmes, and projects when the management of the organisation's performance is measured in capacity development (Auriacombe, 2011:39).

In addition, the exploration of the DOD accountability documents showed to address performance indicators on effectiveness, efficiency, and economy concerning personal capacity development. Such documents as the DOD Strategic Plan, the HRD Strategy Implementation Plan, DOD Operational Plans, the DOD Annual Reports, Mid- and End-of-Term reports, and the SMS Competency Framework were the most effective documents in the document analysis sample. In the process, the DOD Strategic Plan (SP) was analysed, so too the Annual Performance Plans (APPs) and the Operational Plans for in-year planning and budgeting, whereas the Corporate

Plans were observed in conjunction with Operational Plans, Performance Agreement reports and SMS competence framework documents.

It would thus be correct to state that the development of the SMS capacity development framework is a direct result of the combination of the views of different scholars (AFROSAI-E, 2019:63; Human Resources Professionals Association, 2014:110; Kumar et al., 2013:37; Ruben, 2019:23; UNDP, 2009:5) and the responses of the research participants. These views address the elements of the framework that guided the researcher to conceptualise that which is suitable for SMS development in the DOD. In addition, through international benchmarking the guiding documents on professionalising the Canadian military and Public Service were contextually quite telling (Czarnecki, 2018:39; Hachey, et al., 2020:214; Higenbotham, 2018:35; National School of Government, 2020:44). Auriacombe (2011:37) provided guidance on the utilisation of theories of change and the programme logic model in policy evaluation during democracy for effectiveness, rationality in public policies, and democratic governance. In that regard, the utilisation of programme evaluation provided information about activities, characteristics, and outcomes of programmes for informed judgements, programme effectiveness, and decisions about future programmes. In so doing, the policy performance is measured by its relevance, efficiency, effectiveness, suitability, and impact.

The framework with such features is presented in Figure 6.1 below in a graphic presentation on what the DOD should do in assuring that capacity development of the SMS is successfully implemented, monitored, evaluated, and reported to the relevant stakeholders, including the DPSA for enhanced individual and organisational performance.



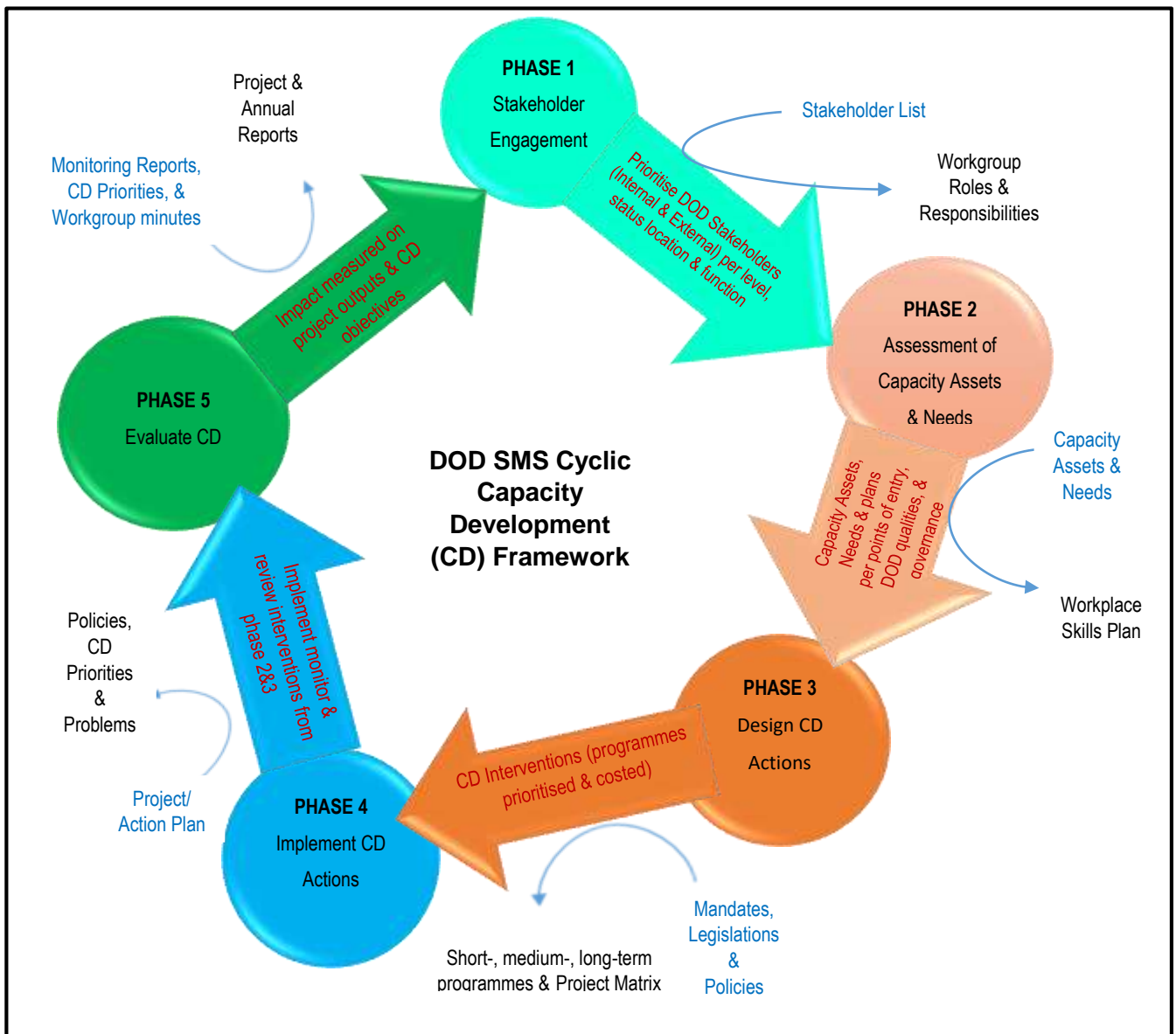


Figure 6.1: DOD Cyclical Capacity Development Framework for SMS (Own Diagram)

Figure 6.1 above depicts a cyclical model developed from the analysis inspired by the capacity development process deliberated in Chapter 2 of the study. The depiction from Figure 6.1 highlights the proposed DOD capacity development framework for the SMS with five phases that are interlinked in a cyclical process throughout the phases. The depiction certainly indicates that the output of the first phase (stakeholder engagement) is crucial for the second phase (assessment of capacity assets and needs) since phase two cannot commence without the end product for first phase. Equally so the third phase will not start without the output for phase two, thus

demonstrating dependency on each other through which the process continues until all phases are complete for the cycle to start again. During phase two, the five-step process for capacity assessment (UNDP, 2007:10) is followed to assess the five functional capacities, and for the policy programming design in phase three where policy related problems are identified. Knowledge of different stakeholders will result in the success of the policy since they will all bring forward the needs and gaps in their respective environments and specialisation. In addition, this process is coupled with designing, implementing, monitoring, and evaluating capacity development intervention programmes. In this regard, monitoring is used as a mechanism for learning and adjusting evolving conditions when dealing with capacity development as early as in phase four, to prevent using monitoring as a reporting and control instrument only in the last phase. Hence it is emphasised from the implementation phase. The details of the five phases are discussed below per stage in context with the DOD.

#### 6.3.1.1. Phase 1: Stakeholder Engagement

Engaging DOD stakeholders involves the identification of both internal and external stakeholders who are categorised according to their levels, status, location, and functions. The stakeholders identified to participate in the project are then supported by motivations that lead to the roles and responsibilities allocated to them for further engagements in the capacity development workgroup. The DOD internal stakeholders in this case, as discussed in Chapter 2 are all the Chiefs of Services and Divisions, including the members of the HR forum for Directors, Training Command and DOD Training institutions, the Human Resource Command Council (HRCC), Military Command Council (MCC), and the Sec Def Council, whereas the external stakeholders are DPSA, DHET, SASSETA, SAQA, NSG, and those Institutions of Higher Learning that have a working relationship with the DOD through a Service Level Agreement (SLA) or a Memorandum of Understanding (MOU). Consequently, the engagement of stakeholders involves the contribution and support towards the implementation of the process wherein the presentation to internal stakeholders may gather inputs that will prevent potential risks and decision-making for the development of new interventions. In this regard, the first phase ended with a decision about the stakeholder to present the concept for advocacy and the priority given to those

stakeholders that are critical in the workgroup. The DOD stakeholder list serves as the input of this phase to establish workgroup roles and responsibilities.

#### 6.3.1.2. Phase 2: Assessment of Capacity Assets and Needs

Once the stakeholders are consulted in phase one, they initiate the process by identifying critical capacities that need attention from the three capacity levels, either to be strengthened or to be optimised at the level of capacity where the regulatory framework, policies, and strategies directly impact internal policies of the DOD. During the process of assessment, the enabling environment as an entry point will zoom in to the organisational level, since the areas of Strategic Management, Culture, HR, Processes, Resources, and Inter-relationship are affected during transformation of the DOD. The scope and depth of the assessment may involve the four core issues (institutional arrangement, leadership, accountability, and knowledge) discussed in Chapter 2 in addressing the areas of the technical (focusing on specific themes for SMS jobs in Services and Divisions) and the five functional capacities that are common to all managers in the SMS to engage stakeholders; assess a situation and define a vision; formulate policies and strategies; budget, manage and implement; and evaluate, on an area from which the capacity will be developed.

In that regard, the stakeholders will determine how the assessment will be done, which involves needs analysis for desired performance against the existing performance to identify the gap. The desired performance in ETD is derived from the proactive need analysis through which the problems that will exist in the future are identified and intervention effected before the performance problems exists. In addition, the reactive need analysis may be used to assess the gap between current performance and desired performance, whereby the causes are identified and solutions are planned for immediate action (DOD, 2017a:no pagination). Among the many models for training need analysis, the workbook for Erasmus et al.(2010:no pagination) emphasizes the Model of Graham and Mihal (specifically directed at analysing the needs for managers) and the Model for Michalak and Yager (analyses individual and job skills) for training analysis. The DOD prefers the Analysis, Design, Develop, Implement, and Evaluate (ADDIE) model for the ETD of officials, stated in the HRD Strategy, inclusive of such activities as: Analysis, Design, Develop, Implement, and Evaluate to determine the

needs, design and develop learning opportunities, present learning opportunities, and evaluate the ETD system (DOD, 2017a:no pagination).

In this phase, the output of the activities engaged will be the list of available capacity assets, the skills need, and the desired needs that are prioritised accordingly from the existing capacity assets and needs that lead to the skills gap to be addressed in the next phase and during the implementation phase. The assets and needs will be defined according to institutional qualities (on performance, adaptability, and stability) and governance principles (on participation, equality, and accountability) that will be evaluated at the end of the project. Czarnecki (2018:39) defines the quality of the military profession with three components: expertise, responsibility, and corporations which describe the management of violence on behalf of the state. These are unique qualities that distinguish DAP from PSAP, but the focus on leadership and ethics might provide common qualities that deal with skills, character, standards, and regulations for common ground on professionalism. The output for this phase is consolidated in the workplace skills plan (WSP) that incorporates those desired skills needs.

#### 6.3.1.3. Phase 3: Design Capacity Development Actions

From Figure 6.1, the design phase depicts the formulation of capacity development actions as activities executed on the output from phase two, the revised assets, and the desired capacity needs in the WSP (Erasmus, et al., 2010:no pagination). The WSP is developed every financial year to provide the SASSETA with skills priorities, development programmes, and providers to develop meaningful sector skills plan with scarce and critical skills, for compliance with Skills Development Authority (SDA) 1% (Department of Higher Education and Training, 2011). In addition, the WSP for the previous year is utilised to develop the annual skills report and as the base for the skills audit for the department, which makes it a very critical source document for accountability purposes. It is also in the WSP that the PDP of each DOD official is reflected for analysis and design of interventions. The initial step at this phase prioritises the available resources and policies according to the intervention programmes categorised based on short-, medium- and long-term periods. Subsequently, these categories together with prioritised resources make it easy for securing funds and feature the programmes in the HR plan, a Department's Annual plan wherein their budget is made visible.

This action is further emphasised by the Strategic Plan Framework on defence outcomes measured by means of a logic model that explains processes and activities for intervention to be implemented (Department of Defence, 2012:7). In the process the curricula relevant to the capacity development programmes are designed from the themes that talk to performance management on areas that impact equity, effectiveness, efficiency, and economy based on the rules, procedures, and requirements of the DOD curriculum development. Furthermore, the design of the curricula in outcomes-based ETD of the DOD is linked to doctrine regime for informed, competent, and cohesive military professionals (DOD, 2014:11-2). The major output of this phase is the short-, medium-, and long-term programmes and the project matrix derived to comply with the national legislation and policy mandates.

#### 6.3.1.4. Phase 4: Implement Capacity Development Actions

During this phase, the capacity development actions identified and designed from the output of phases two and three are implemented through a project plan that is further designed and presented to relevant stakeholders for approval. The project plan is designed with capacity development programmes prioritised according to the requirements for facilitators, assessors, moderators, and programme designers. From the initial stage of implementation supervision, continuous monitoring that results in the generation of statistics for the interventions is analysed. The output for this phase is the priorities or challenges addressed and consolidated in the monitoring and review reports for further decision making on new interventions as the project progresses. It is in this phase that most of the capacity development actions are involved coupled with continuous monitoring of implementation and review of policies.

The implementation strategy for capacity development intervention is described by Czarnecki (2018:42) as transformational to achieve a desired future condition. Czarnecki (2018:42) explains this model as a sequential, linear cause and effect relationship which links to the postulate stated in the problem statement that relates to a known fact previously mentioned in Chapter 1 that training and education have direct impact on organisation performance. In planning, monitoring, and evaluating the project, the main links according to Czarnecki (2018:43) are among inputs, activities, outputs, and outcomes. In the case of the capacity development framework of the

DOD, the inputs are illustrated in Figure 6.1 for each phase leading to outputs whose impact will be measured during evaluation in the last phase.

#### 6.3.1.5. Phase 5: Evaluate Capacity Development

The last phase on evaluation of capacity development involves evaluation of the outputs of all the phases from which the impact on development objectives is measured against the outputs of the project. In so doing, the level at which the outputs of each phase were achieved will serve as an indicator for the success of the project. At this stage, the evaluation report will be presented to indicate whether the answers to the three questions asked during the first phase on, **what** capacity to develop, capacity for **whom** and **how** is capacity developed in this project were addressed in line with available assets, the desired capacity needs with correct interventions within the timeframe and the available resources. The framework utilised inputs as resources for the delivery of outputs, wherein the activities became the actions that built on the inputs to produce desired outputs in each phase that work towards delivering the study objective for better achievement of the two DOD outcomes, 3 and 11, of the twelve government outcomes (Department of Defence, 2012:7). These three elements of the logic model contribute to planning, budgeting, implementing, and monitoring the project. The outcome of the framework on Figure 6.1 together with the impact measured on outputs are performance indicators that contribute to achieving the objective of the study.

The utilisation of the resource inputs, activities, outputs, outcomes, and the impact in the proposed capacity development framework serves to address the identified problem statement through an intervention programme logic model in which a reductionist approach is used. The researcher understands the limitation of the logic model that is mainly based on a linear design of cause and effect among the elements of the model. The main reason for the use of the logic model is that it is a planning and monitoring tool that allows flow of the communication throughout the phases of the project with a sequence of activities that produce desired outputs. In that regard, the evaluation serves as a causal element linked to the sequence of activities and outputs. Hence, the well-structured project and annual report that talks about the impact made by individual outputs of each stage will be generated from monitoring reports, capacity development priorities. Minutes of the workgroup meetings are critical in the closure

of the project. Table 6.1 below demonstrates a summary of the proposed capacity development framework for the SMS in the DOD detailing the five phases that are already discussed above with their activities and outputs.

Table 6.1: Summary of the Proposed DOD SMS Capacity Development Framework (Own Table)

Phase	Inputs	Activities	Outputs	Time Frame
<b>1. Stakeholder Engagement</b>	Stakeholder list <b>Internal:</b> Chiefs of Services & Divisions; Training Command & DOD Training Institutions; HRCC; MCC; and Sec Def Council  <b>External:</b> DPSA; DHET; SASSETA; SAQA; NSG; & Institutions of Higher Learning	Identify Stakeholders by level, status, location, & function  Motivate involvement of Stakeholders  Mobilise Create partnerships & networks  Generate Inputs  Decision on Intervention  Risk Analysis	Appropriate Stakeholder list  Roles and responsibilities  Minutes Database Report  Revised Intervention  Risk Management Plan	Annually - DOD Diagnostic Implementation
<b>2. Assessment of Capacity Assets and Needs</b>	Capacity Assets  Training Needs  Capacity development Needs	Define existing capacities Analyse desired capacities - Capacity Levels Identify capacity gap Plan Strategies  Define points of entry: <b>Enabling Environment</b> – Regulatory Framework; Policies; Resources and Processes; Management; & Accountability  <b>Organisational Assessment</b> - Strategic Management; Culture; HR; Processes; Resources; & Inter-	Lists of Capacity Assets and Desired Needs           Organisational Assessment Sheet Skills Needs   Individual Capacity Assessment Sheet	Annually – DOD Strategic Operational Planning, & Budgeting

Phase	Inputs	Activities	Outputs	Time Frame
		<p>relationship</p> <p><b>Individual Capacity Assessment</b> - Job skills; Professional Development; Access to Information; Performance; Values/ Attitude/ Motivation; Relationship/ Interdependency; Professional Integrity; Leadership; Management style; &amp; Communication Skills</p> <p>Define in context: Institutional qualities Governance principles</p>		
<b>3. Design Capacity Development Actions</b>	<p>Mandates; Legislation &amp; Policies; Existing Capacity Development Programmes</p> <p>Themes</p> <p>Capacity Development Workgroup</p>	<p>Establish Training Framework; Design Training Courses; Prioritise Intervention programmes per period; Interview/ Consult Staff through Workshop/ Conference</p> <p>Select and Prioritise Themes based on Ministerial Priorities</p> <p>Design Project/ Action Plan Consult Policy / Strategy and Mandates Establish</p> <p>Define Workgroup Terms of Reference</p>	<p>Interview Sheet Evaluation Sheet</p> <p>Lists of Short-, medium-, &amp; long-term programmes</p> <p>Curricula</p> <p>Project Matrix Project/ Action Plan</p> <p>Workgroup Minutes &amp; Terms of Reference</p>	<p>3 Months – Document; Reflect; &amp; Integrate</p>
<b>4. Implement Capacity Development Actions</b>	<p>Project/ Action Plan Implementation Plan</p>	<p>Plan Interventions identified in Phase 2 &amp; 3</p>	<p>Project Strategy</p>	<p>Continuous – DOD Implementation</p>



Phase	Inputs	Activities	Outputs	Time Frame
		List Priorities/ Problems; Problem Analysis; Objective Analysis; Monitor, assess, & moderate Capacity Development programmes  Supervise, Monitor, & Review Project Advocacy	Capacity Development Priorities/Problems  Training and Development Statistics  Revised/ New Policies Progress Reports	
<b>5. Evaluate Capacity Development</b>	Project Evaluation Plan	Monitor Implementation of Action Plan; Evaluate Project Effectiveness; Interpret Results; Final Report Presentation	M&E Reports  Annual Report  Project Report	Continuous - Quarterly; Annually; & Long-Term Reporting

As already indicated before, Table 6.1 above depicts a summary of the proposed capacity development framework for SMS in the DOD that has been previously presented in Figure 6.1 and discussed in detail based on five phases of capacity development to implement in the DOD. These phases together incorporate planning, budgeting, including monitoring, evaluation, and reporting which is eminent to address the objective of the study. Hence the project timeframe is aligned to the DOD planning, budgeting, and reporting cycle. Each phase is meant to fit in the DOD planning cycle. The first phase occurs during diagnostic implementation that encompasses the situation analysis, problem statement, and the options to address DOD evaluation findings. The second phase occurs during planning and budgeting when the DOD strategizing involves environmental analysis, strategic planning, and budgeting. After the previous phases, the design phase is the shortest and the only phase that will integrate the beginning of the implementation process followed by reporting which constitutes monitoring and evaluation. The implementation phase occurs during the DOD implementation process of the strategies, plans, and planning guidelines which involve the utilisation of annual budgets followed by the last phase, evaluation. The last phase of evaluation is aligned to DOD performance management. In this phase the achievement of results and value for money are assessed, the recommendations for improvement are made, the DOD decision is taken and diagnosis is made.

## 6.4. CONCLUSION

The synergy of findings and the premise of the study are explored by detailing the key literature findings on whether the literature review reiterates or differs from the key empirical findings as presented in this chapter. The study therefore deduces that the DOD challenges to policy implementation is not in the design of policies, but transforming strategies into action. It takes time to be established and seems to be a complex task due to policies that are outdated to such an extent that they do not talk to transformation. Due consideration is therefore given to the unique nature of the DOD relative to the wider Public Service, but understandably the DOD is a broad representation of the SA citizenry that must consider matters of equity, gender disparities and inequality throughout the HR system. ETD opportunities that support individual career plans by means of individual learning paths where all individuals take responsibility for their own continuous professional development is the key issue in the DOD, even though it lacks clear guidelines for SMS development.

In that regard, through the capacity development framework proposed, the systems approach is demonstrated in ETD processes by determining the need, designing, and developing learning opportunities, presenting learning opportunities, and evaluating by defining central processes. The successful implementation of the framework will ensure the involvement of further liaison with internal stakeholders to incorporate the actual programmes or interventions to be implanted for effective and efficient monitoring and evaluation. Lastly, if utilised well the WSP can impact positively on the identification of the development skills needs and ways to discover talent. The WSP can provide a good return on investment to the DOD. In that regard, the next chapter will reveal the recommended areas for implementation of the proposed framework. Other research findings will also be revealed, and further research areas through the culmination of the study will be proposed.

## CHAPTER 7: RECOMMENDATIONS AND CULMINATION

### 7.1. INTRODUCTION

Based on the empirical findings discussed in the previous chapter in relation to the key literature findings, the proposed capacity development framework, and the results presented in Chapter 5, in this chapter the researcher presents the conceptual and practical framework as a process to follow in capacity development of the SMS that leads to continuous monitoring, evaluation, and reporting. Furthermore, the presentation of the recommendations to implement the framework in context of the South African Department of Defence is forwarded with the culmination in the form of a summary of what transpired in the whole study. This portion of the study therefore presents the overall assessment through which the summary of the proposed framework presented was derived from the empirical research phases already detailed in Chapter 6. Subsequently, the topic overview is provided based on the summary of findings presented in Chapter 6 which addressed the research questions on capacity development in line with what is in the public domain and in context of the DOD. Hence the overview of the study.

### 7.2. OVERVIEW OF STUDY

The study was driven by the researcher's intention to conceptualise a generic personal capacity development framework for the SMS in the DOD, starting from low participation in individual performance to offering development interventions, as stated in the problem statement: The SANDF lacks a uniform comprehensive framework for personal capacity development of the two groups of SMS members in the DOD. In this regard, the study aimed to develop and propose a generic development framework for personal capacity development of SMS that incorporates the PSAP and the DAP in the DOD. To achieve this aim, three objectives that are closely linked to the research questions have been outlined: 1) to analyse the current governance status for management of capacity development of SMS members in the DOD; 2) to establish how development needs of SMS members can be proactively made visible for planning, monitoring and evaluation; and 3) to develop a framework with unique elements to manage personal capacity development of SMS members in the DOD.

In response to the research questions, the research design is expressed as a plan for data collection in three processes that include: 1) the process of collecting data using an open-ended questionnaire; 2) the development process instrument; and 3) the empirical sampling process (Bhattacharjee 2012:35). The research design was based on SMS capacity development. This was tested through the research question, designed to investigate a gap that exists in the management and leadership skills acquired by DAP and PSAP from the competence development programmes provided by the DOD and the DPSA towards achieving the DOD mandate. Therefore, the study indicated that such programmes target generic and technical competencies that promote and uphold the DOD mandate, including maintaining regional security-need strategies flexible to integrate the complex culture beyond SA and regional politics, as discussed in Chapter 3.

### 7.2.1. The Chapter Outline of the Study

The study was structured such that the academic report comprised of seven chapters summarised for the benefit of the reader's understanding of the steps followed by the study. It concluded in this chapter with the recommendations made on the findings, conclusions drawn, and the indication of the need for further research. Furthermore, the outline includes the understanding of the journey taken in the process of acquiring skills and knowledge throughout the project, from the initial stages of planning, implementation, and to the withdrawal stage of the project.

#### 7.2.1.1. Chapter 1: Introduction and Overview

An introduction and overview chapter of the study introduced the research statement stated earlier, and the four research questions stated as: 1) what development framework can be proposed for personal capacity development of the SMS members in the DOD? 2) What is the status of governance for the management of capacity development for the SMS members in the DOD? 3) How can development need of the SMS members be made visible for planning, monitoring and evaluation; and 4) which framework can be developed with unique elements to manage personal capacity development of SMS members in the DOD, outlined to address the research process and the critical aspects revealed in the six chapters that followed the introduction chapter.

Furthermore, the first chapter provided the aims and objectives with an in-depth explanation and understanding of the need for SMS in the DOD and the broader Public Service in SA. The first chapter was ended by introducing a high-level overview of the research methodology applicable to the study, and a process of interpreting the research participants' inputs, data analysis, and outputs, including a detailed description of the SMS phenomenon.

#### 7.2.1.2. Chapters 2 and 3: Literature Review

An in-depth review of literature is provided in two chapters as a critical analysis on capacity development of the SMS in the public domain and the DOD, for both DAP and PSAP. In that regard, the presentation of the study was subsequently divided into three sections that encompass capacity development elements of a transformed DOD; the SMS in the DOD; SMS capacity development in the DOD, based on what transpired from the two chapters.

Chapter 2 provided the review of literature available in the public domain, based on vertical and horizontal alignment of the HR processes through which capacity development elements were addressed in the context of the SMS. On that basis, the processes for military professionalism and public service professionalism were realised through ETD opportunities to satisfy and understand competencies required in the DOD (Moorhouse, 2019:16). In addition, the theory from Rossouw (2004:11) about training and education that has a direct impact on organisational performance was applied to address the possibility of deterioration of the DOD performance due to the shortfall in capacity development of its SMS members. In this chapter, capacity development is recognised as a complementary component of the interventions to improve performance through training of individuals and developing an effective organisation. The capacity development guidelines by the UNDP (2007:10; 2008b:6; 2009:5; and 2011:8) provided the entry point for the development of a capacity development framework on which capacity to develop, capacity for whom, and how capacity is to be developed for future purposes. Brinkerhoff (2000:14) and Japan International Cooperation Agency (JICA) (Kay, 2014:8) bring to context the link between respective capacity levels for the success of the capacity development framework.

Chapter 3 provided what transpired from the statutory mandates and legislative prescripts of the democratic SA and the DOD on HRM systems that impact on capacity development in the SMS. In addition, the study revealed a difference between DAP and PSAP when it comes to training and development of SMS members in the DOD. The difference is in their generic competencies which may not be compromised. The DOD HRD Strategy comprised the principles from which the study revealed the following: noncompliance with some of the regulatory framework; HRD not based on approved ETD doctrine; lack of provision for unique, common, and joint HRD requirements; and unequal HRD for regular/ reserve force members and PSAP. But, through the key pillars of the HRD Strategy the DOD may create, maintain, and develop the capacity to conduct HRD; ensure integrated organisational support systems and structures in transforming its HRD environment based on relevant capacity assets; direct, orchestrate, control, and evaluate HRD with a precise M&E tool.

The DOD adopted the concept of what a leader needs to be, to know, and to do to balance ETD inclusive of the experience acquired from the understanding of the difference between ETD and experience, and the need for both (Department of Defence, 2014:11-5). This concept is inspired by the DPSA and provides a balance between knowledge and skills with functional experience and sound military ethos. Through this concept, the DOD demonstrates the balance between these elements on what the leader aspires to be, to know, and to do as they are bound to be influenced by the politics of the country as a Defence department under civil control. The impact that Competency-Based Management has in capacity development of the SMS members was investigated through the academic research on countries listed for benchmarking in the DOD.

#### 7.2.1.3. Chapter 4: Research Methodology

The researcher applied the interpretivist paradigm (Bhattacharjee, 2012:106) by studying the relevant literature (secondary data), and engaged respondents (primary data) as part of the process of extracting a meaning of reality from them (Chowdhury, 2019:105). In line with the epistemology and ontology of the interpretivist paradigm, the study followed a qualitative approach as proposed by Babbie and Mouton

(2001:270). The resultant design was an intrinsic case study as proposed by Stake (2005:444), where large amounts of data was collected after reviewing relevant literature, and from responses to questionnaires forwarded to participants in the DOD HR environment and ETD sections of Services and Divisions. The population was from the DOD. A total of 17 participants were recruited from the SMS members working in HR and ETD jobs. Purposive sampling (Babbie & Mouton, 2001:73) was utilised to select only respondents from the DOD HR environment and the ETD sections of Services and Divisions. The research setting was thus the DOD. Data collection was done through an open-ended questionnaire mentioned above followed by document analysis for triangulation. Document analysis was therefore the data analysis technique utilised in the study as described in paragraph 4.6.1, explained based on the definition provided by Luo (2021:no pagination). The documents analysis therefore served as an assurance for credibility since data was recorded without the researcher's intervention (Bowen, 2009:28). The impact of biases was reduced through document analysis by convergence and corroboration with data from questionnaire responses by research participants. Furthermore, thematic analysis and coding strategies supported credibility, transferability, dependability, and confirmability and integrated to ensure quality data (Korstjens & Moser, 2018:121).

#### 7.2.1.3.1 Ensuring Quality Data

Upon completion of the study, it is essential to discuss the strategies employed to ensure quality data. Korstjens and Moser (2018:120) identify quality criteria for qualitative research as credibility, transferability, dependability, and confirmability. Credibility measures the problem's true value of by measuring the study's focus on achieving what it is meant to achieve (Korstjens & Moser, 2018:121). This is achieved in the study by the way the data was handled and the processes of analysis that included triangulation in addressing the intended focus (Ritchie et al., 2013:34). In the process, multiple realities of those studied were disclosed based on the participants' views in HR and ETD environments (the responses from participants are captured in Appendix C). Transferability depends on the reader's perception for the problem's applicability and the findings to other context, including generalizability to the entire SMS population (Korstjens & Moser, 2018:121). In that regard, the methodology of this study outlines step by step process followed that lead to the outcome which can

easily be applied in similar situations and even be used for the same participants for dependability which refers to the stability of findings (Korstjens & Moser, 2018:121). It is understandable that, in some cases, capacity development of SMS is hindered by the misconceptions that the individuals may have that at the level of a senior manager, one does not need further development. Such biases might affect the findings, but the audit trail of the study is confirmable in that the conclusions are grounded on the data presented in Chapter 5.

Korstjens and Moser (2018:120) further explain the operationalisation of trustworthiness as a process where transferability of qualitative study relies on credibility, which also relies on dependability. Credibility as the truth value of the study deals with the confidence of the research in how well the data and processes of analysis addressed the intended focus. The researcher's objectivity was revealed through the processes utilised to gain access to the site, gather data, data analysis, and ensure accuracy and trustworthiness by verifying and cross-checking the findings. Such objectivity is the central role of the interpreter and observer, which means the researcher remained unbiased in descriptions and interpretations by controlling various sources of error that might affect the ultimate validity of research results. The approach brought compliance to the next discussion on the ethics in research.

#### 7.2.1.3.2. Ethics in Research

Van Rensburg et al. (2010:109) emphasize the importance of addressing the ethical requirements when doing research by considering the concept of ethics and the different ethical issues. Through these considerations, the researcher addresses issues related to people, different research approaches, and professional capacities (Helsinki, 2009:7). Furthermore, understanding ethics as "that which is morally justifiable" (van Rensburg et al., 2010:110) is crucial and is highlighted in paragraph 4.8 under ethics considerations. Certain standards and norms apply to the researcher's behavior throughout the research process. The ethical standards are considered to ensure legal and ethical compliance with both institutions involved in the study. Compliance involves the DOD and SU standard procedures through the three types of ethics (procedural requirements, relational ethics, and situational ethics) within qualitative research (Babbie & Mouton, 2001:258). Therefore these three types of ethics are discussed to ensure quality assurance and ascertain that information



analysis is fair, reliable, credible and in accordance with the principles of research methodology.

#### 7.2.1.3.2.1. Procedural Requirements

The ethics in procedural requirements refer to the standard research procedures followed to commence the study based on the approval from the DOD and SU gateways. The process informs the kind of informed consent, participants' privacy, accurate presentation of data, prevention of harm to participants, and other procedural considerations that uphold monitoring and analysing the possibility of psychological or physical harm during and after research (Babbie & Mouton, 2001:261). The researcher considered in the study the critical perspective of universalism by presenting the study for peer evaluation at the International Conference to be judged whether it is in line with previously accepted methods including thinking and knowledge on the subject (van Rensburg et al., 2010:110).

#### 7.2.1.3.1.2. Relational Ethics

Babbie and Mouton (2001:261) refer to relational ethics as the process that involves building rapport, mutual respect, dignity, and connectedness between the researcher and the participants. To address this norm, the researcher set the relational through a formal communication that made participants aware of the purpose of the study, their role and the benefits from the study. In the process, the emphasis is made also on their voluntary participation and liberty to freely leave the study at any stage.

#### 7.2.1.3.1.3. Situational Ethics

The researcher understood throughout the research proceedings that all situations are not the same, hence continuously examined the ethical problem in context of the actual occurrence. Furthermore, the researcher continued balancing interest, intuition, and personal convictions with an existing situation. Hence, the four situational factors that influence making judgments about research were considered to collect, analyse, and report research including effects on participants, the researcher and the larger social and scholarly communities beyond the DOD (van Rensburg et al., 2010:111). The systems theory was utilised to focus on internal factors related to training design, delivery and implementation, which in turn assisted to focus on a variety of issues impacting overall organisational decision-making and functioning. All the above contributed to the integrity of the study.

#### 7.2.1.4. Chapter 5: Research Findings

The analysis of data obtained from the questionnaire and triangulated with the content from the DOD accountability documents revealed three themes: 1) no clear development plan, 2) questionable leadership behaviour, and 3) need for a common code of ethics. These themes became the statements that interpret what the data meant in relation to the SMS phenomenon in the DOD. The first theme transpired from several ideas from participants leading to the cluster of codes that were categorised to service delivery regarded as a key component in the PAs of SMS members. This was evident when participants reported the policies that do not enforce either mandatory or compulsory participation of SMS members in development courses, which in turn results in some SMS members neither participating nor attending development courses at all (ETD4).

The second theme transpired from the codes that form the values and the performance categories, mostly coded from both DOD reports and participants' responses. This theme addressed the observations made by participants in relation to the leadership behaviours that exist between subordinates, peers, and supervisors of the SMS in the DOD. In this regard, the codes from the categories for values, service delivery, governance, and performance revealed certain behaviours from SMS members of the DOD that are of interest in the study. With this theme, the accountability documents were of critical importance to reveal and establish the root cause of such behaviours, together with mechanisms to alleviate such behaviours (DOD, 2020b:17).

The third theme transpired from the participants' responses leading to codes that formed the category on values which were evidenced by participants supporting establishment of a common code of conduct. They indicated that for the DOD to become more efficient, it is critical for DAP and PSAP officials to have a common understanding of, and approach to a productive and ethical work environment (ETD5). Issues of generalisation (Babbie & Mouton, 2001:283) were tested by comparing findings with knowledge from previous researches and theories. Issues related to ethics were also analysed from accountability documents of the DOD in which the DOD annual report for FY 2019/20 specified the incomplete institutionalization of DOD Ethics Management Policy in the interest of structured ethical environment to provide guidelines for ethical conduct and consequence management.

#### 7.2.1.5. Chapter 6: Discussion and Interpretation

This chapter of discussion and interpretation of results revealed through document analysis an understanding of the strength of the SMS because of recruitment, training, and development, and turnover. From these areas, the systems theory was regarded as a broader theoretical perspective comparative to the narrow-minded view that focuses only on internal factors, such as those related to training design, delivery, and implementation (Diaz, 2016:no pagination). That harmonised a theoretical understanding that an organisation is a combination of systems where managers provide a human action in an organisational system to produce planned outcomes according to the stakeholders' desire. In so doing, managers design an organisation's structure and determine how different aspects of the organisation interact to fulfil the processes in a systems approach. Subsequently, the approach is of assistance in addressing a variety of issues that impact overall organisational decision-making and functioning in the DOD, especially in HR.

In addition, the principle of adaptation (Garavan et al., 2020:3) in systems theory supports the use of the HR system which directs competency-based training to adapt to changing internal and external factors that influence effectiveness. Furthermore, the confirmation of the SMS not participating in training and development was visible in accountability documents where zero participation was recorded for all the years under investigation. Hence, the need for a clear development plan for the SMS is recommended, so too it is made visible in the proposed cyclic capacity development framework.

#### 7.2.1.6. Chapter 7: Recommendations and Culmination

This chapter concludes the study by providing several recommendations that address policy prescripts, ETD doctrine, personnel profiles, and HR Functions crafted for consideration together with a proposed capacity development framework. This framework transpired from the analysis of participants' responses and the accountability documents of the DOD. Furthermore, recommended for implementation in the DOD is the proposed cyclic capacity development framework with five phases that encompass engaging of stakeholders; assessment of needs; capacity development design; implementation that involves planning, budgeting; monitoring

and evaluation of the project. In addition, the researcher revealed an understanding of the journey taken in the process of acquiring skills throughout the project from the initial stages of planning, implementation and the withdrawal stage from the project, to recommendations made from findings, conclusions drawn, and lastly indicating the need for further research.

### 7.2.2. Findings and Implications

From the study, the revelation is that the low participation transpired because of not equally implementing the policy directive on compulsory development, mandatory training days, and minimum entry requirements for all members of the SMS. This directive and other mandates that are not implemented in the DOD, as mentioned in Chapter 5, are meant to instil a culture of continuous development and to enhance professionalism through compulsory capacity development. Over and above the areas of concern being revealed in the detailed analysis of the results that answered the research questions of great importance is that these areas be linked to DOD legislation, policy mandates, HR system, including individual and DOD performance. This implies that DOD performance might deteriorate soon due to the shortfall in capacity development of its SMS members, especially their participation in ETD opportunities, as training and education have a direct impact on organisational performance (Rossouw, 2004:11). For the time being, the study has realised that the impact is more on individual performance than organisational performance.

#### 7.2.2.1. Review of Literature

It emanated from the review of literature that the SMS is utilised in government as an instrument for stability and adaptability, with a competency framework that brings effective and efficient performance (Lopes & Theisohn, 2003:11). As such, the DOD introduced the SMS during transformation to preserve expertise for the SMS to play a crucial role by ensuring that a culture of military professionalism, ethical conduct, and leadership excellence exist at all levels of the DOD in the respective Services and Divisions to curb state fragility (Brinkerhoff, 2007:6). This leadership and managerial initiative, as supported by Brinkerhoff (2007:12), comprise leadership dialogues, seminars, workshops, information sharing forums, and external courses by means of a competence-based ETD approach from employment entry to exit. The capacity

development intervention is imperative for both fragile and non-fragile state institutions, to either mitigate or prevent state fragility.

Furthermore, the current investigation of leadership and management styles of the SMS of the DOD, which is based on transformational leadership and accountability management, are advocated by DOD legislative mandates. In this case, Bester and du Plessis (2014:146) identified a positive effect that transformational leadership has on the six dimensions of adaptive performance which is formalised in the SA Army doctrine on the Clover Model. Transformational leadership together with transactional leadership emphasised by Public Service prescripts were adopted in this study, because these are the leadership styles that reassure involvement of stakeholders and the emphasis of service delivery approach.

#### 7.2.2.2. Review of Empirical Findings

Through a review of DOD policy prescripts and legislative mandates, the status quo in terms of capacity development of senior managers in the DOD started to unfold, from the SA Defence Review 2015 which is not implemented fully to complete the transformation period from the apartheid regime to the democratic era. The study discovered that the SA Defence Review 2015 is the first national policy on defence for strategic intent that is based on strategic outcomes that need to be supported by resources and strong policies developed by the SMS in the DOD (Parliamentary Monitoring Group, 2019:2). Failure to manifest this strategy implies that transformation in the DOD will remain unfinished business that affects the DOD systems and organisational structure. Several studies from Auriacombe (2010:69), Esterhuyse (2011:13), Lamb (2004:2), Veldtman (2018: iii), and Vrey, et al. (2013:10) were consulted, as they address transformation in the DOD, particularly the HR and ETD systems, from different perspectives.

From the findings, there are three themes revealed through the analysis of data collected through an open-ended questionnaire and the content analysis of the accountability documents of the DOD, which led to the recommendations in this study, and its proposed cyclical framework on capacity development of the SMS. The framework revealed that the mixed approach between military professionalism and public service professionalism are unique elements found in the capacity development

of the SMS of the DOD that will lead to the achievement of positive results for enhanced individual and organisational performance. Next the discussion will be the strengths and limitations of the study.

### 7.3. STRENGTHS AND LIMITATIONS OF THE STUDY

The strength of the study is the approach the study provides for the successful implementation of the DOD renewal and modernisation that involves arresting the decline in HR. The study reveals that the five key strategic goals mentioned in Chapters 3 and 5 should be validated and aligned with the DPSA HR Strategic Framework on Capacity Building, Systems and Structure, Governance, and Socio-Economic Skills. In that regard, the HRD Strategy (Department of Defence, 2017a: no pagination) that provides direction and intent on the business model with four key pillars for high performance in the DOD should be implemented without fail, based on the legislative framework as foundational to the capacity development process.

The strength of the study is therefore embedded in the principles of the HRD strategy that are not fulfilled by the different Services and Divisions, as revealed by the study as the strongest area in which the argument in favour of the study was based. This has led to the proposed development framework with unique elements that encompass professionalism for both DAP and PSAP through ETD, relayed in an approved ETD doctrine for better capacity. The weakness of the study is embedded in the limitation that the sample was only drawn from the DOD without the inclusion of other state institutions with similar dynamics. But the results may be of great importance for the DOD to benchmark to other national state institutions, especially the security cluster departments and those similar beyond SA borders. Due to the limited time to complete, and exclusive space identified for this study, there are areas identified for future research that are critical to the ETD of the SMS in the DOD, such as the concept of military professionalism and the DOD culture post 1994 as alluded to in Chapter 4. A need exists for a study on capacity building within the context of talent management with specific reference to talent development. Such areas were discovered from literature during the literature review of this study, benchmark against peer institutions in other countries, as a challenge for the two categories of SMS

personnel of the DOD in a new democratic SA. The suggestions for future research are therefore made.

#### 7.4. SUGGESTIONS FOR FUTURE RESEARCH

In addition to the suggested future research within the context of talent management, the study revealed a broad scope of areas that need further research on the inclusion of capacity development programmes for the SMS in the learning paths for both DAP and PSAP in the DOD. Furthermore, the alleviation of andragogy at the level of senior management for personal development by incorporating ethics and gender considerations into the officer professional military education (PME) curriculum inclusive of both PSAP and DAP SMS, where appropriate. A need is therefore registered for further research of areas that involve military professionalism and the DOD culture post 1994 which may contribute to streamlining the ETD, for the benefit of the DOD and other institutions with similar interests in meeting their HR demands. Next the overall assessment of the study is revealed.

#### 7.5. THE OVERALL ASSESSMENT OF THE STUDY

The overall assessment of the study demonstrates success, since the problem statement through its respective research questions was successfully responded to, and its objectives were achieved. In this regard, the researcher bases the credibility of the study on the accurate processes of data collection and analysis that addressed the intended focus, fortified by employing triangulation with content from accountability documents of the DOD. Therefore, the complete success of the study depends on the implementation of the recommendations made in this study, including the adoption of the proposed capacity development framework which can only be done by promulgation in the DOD. Furthermore, the success of the capacity development programmes depends on stakeholder conviction and commitment, and leadership confidence to inculcate a learning culture that optimises internal and top talent to enhance retention. Transferability is also possible, depending on the reader who may deem it fit that the findings be transferred to other settings beyond the scope of the study. The overall assessment of the study is categorised into two areas which involve a) how the study met the problem statement and objectives, and b) an indication of the value add of the study, as discussed below.

### 7.5.1. Meeting of Problem Statement and Objectives

The purpose of the study of developing a uniform comprehensive framework for personal capacity development of SMS members in the DOD was achieved based on the inputs by research participants, from the content analysis, and the literature review. Concerning the empirical research findings, the proposed cyclical framework was developed from the participants' responses and was forwarded to SMS members in the HR development and career management environment for review. That approach validated the practicality and ease of use of the framework with minor adjustments on the proposed model. Thus, the researcher believes that the deliverables of the study were successfully achieved.

The aim of the study of developing and proposing a generic development framework for personal capacity development of the SMS that incorporates the PSAP and the DAP in the DOD was achieved by three objectives, stated as: 1) to analyse the status of governance for management of capacity development of SMS members in the DOD, 2) to establish how development needs of SMS members can be proactively made visible for planning, monitoring and evaluation, and 3) to develop a framework with unique elements to manage personal capacity development of SMS members in the DOD. These objectives are closely linked to the research questions, as already discussed before.

#### 7.5.1.1. Objective 1: To Analyse the Status of Governance for Management of Capacity Development of SMS Members in the DOD

The study investigated whether the training needs of the SMS in the DOD are addressed by the opportunities provided to develop SMS leadership, managerial, and technical competencies. This has been made possible by answering the research questions through data collection, an open-ended questionnaire, and purposive sampling that resulted in themes generated from the responses, and thematic content analysis as described by Gillham (2003:59). During document analysis, the DOD transformation was realised as having a changed role of not being an aggressor, but a protector on a wider range of applications, a strategic enabler, and a catalyst of change as alluded in the PMG report (Parliamentary Monitoring Group, 2019:4). The transition of roles therefore, of ensuring the defence of the sovereignty of SA,



protection of vital interests, and support of natural interventions in Africa, presents challenges to the members in the SMS echelon of the DOD. Such challenges dictate that SMS members must carefully scan the strategic environment for present and future tensions and conflicts by providing methods from doctrinal approaches that involve resources and strong policies that support strategic outcomes, as directed in the SA Defence Review 2015 (DOD, 2014:11-2).

#### 7.5.1.2. Objective 2: To Establish How Development Needs of SMS Members can be Proactively Made Visible for Planning, Monitoring and Evaluation

The integration of the above and its implications therefore demonstrate a challenge with the DOD HR system, which is particular when it comes to implementation of stipulations due to their relevance to DAP and PSAP mandated by the two different acts, the Defence Act, and the Public Service Act, respectively. As a result, the individual performance of SMS members is affected more than the organisational performance. In implementing the DPSA directive that addresses continuous development of the SMS, there should be no choice given to the SMS members, as the directive is the proper tool for lifelong learning to members at all levels of the SMS, without restricting the capacity development programmes to be implemented. This implies that the DOD must look at the relevant courses that address the SMS competencies (generic and technical) for both DAP and PSAP, individually and combined, to address the gap with respect to the phases proposed in the capacity development framework in which stakeholders are fully involved, and strategies and available policies are implemented accordingly.

#### 7.5.1.3. Objective 3: To Develop a Framework with Unique Elements to Manage Personal Capacity Development of SMS Members in the DOD

From the findings, the three themes identified in the study became statements of results that led to a formation of a proposed capacity development framework presented in Chapter 6 and is recommended for implementation. The study has carefully crafted the framework to focus on the implementation of the existing good strategies for monitoring and controlling of capacity development of the SMS. This framework addresses the relevant HR strategy that already exists with clear direction and is well aligned to National prescripts and mandates (DOD, 2017a:no pagination),

yet it is not implemented well. The implementation of this mandatory and statutory legislation is incorporated in the framework as they directly impact the HR system of the DOD. As already indicated above, it is important to note that the unique elements in the proposed framework are the mixed approach between military professionalism and public service professionalism essential to enhance individual and organisational performance.

### 7.5.2. Value Add of the Study

The unique elements of the DOD SMS leadership attributes realised in the study contributes directly to what is not known in the public domain. This brings a balance between the DPSA (2008:4) leadership attributes, Archbishop Tutu (2002:622) identified leadership attributes, and the DOD (Department of Defence, 2014:11-5) ETD, inclusive of the experience acquired from the understanding of the difference between ETD and experience, and the need for both. With that background the value adds of the study is discussed in a total of theory, methodology, and practice.

#### 7.5.2.1. Value Add in Total of Theory

A known fact that led to the establishment of the research statement is based on the theory that training and education has direct impact on organisational performance (Rossouw, 2004:11). The DOD ETD concept provides a balance between knowledge and skills with functional experience and sound military ethos through which the DOD demonstrates the balance based on what the leader aspires to be, to know, and to do, influenced by politics of the country which govern the DOD under civil rule. These three elements, “to be”, “to do”, and “to know” derived from the five levels of core competences that encompass managing self, people, projects, programs, and leading organisation. This is a process that is not followed in its fullness in the DOD, except for the PSAP SMS, but shows to be successfully utilised in America by the US NOAA for leadership officers to meet the standard set for NOAA SES (Bailey, 2008:3).

The leadership concept followed in the DOD embraces transformation which interlinks with management and command through the Clover Model (Bester & du Plessis, 2014:146), but lacks an element that matches it with democratic practices, good governance, and political stability to fit well in Africa. Such an element is found in the

transactional leadership from the DPSA guidelines coupled with transformation as best suitable for SA. Even though the combination of these two types of leadership has been investigated broadly, it is a unique and novel concept in the DOD.

Hence, the focus on the development of the SMS competencies is directed towards supervision, management, and leadership with a comprehensive career development framework for supervisors, managers, and leaders from the early stages of careers for both DAP and PSAP. Such competencies must bring cohesion for entry into the SMS echelon and provide a broader scope to the DAP SMS category for transition to civilian occupations. This approach, including the implementation of the DPSA Directive on SMS capacity development and training mandatory days throughout the broader DOD, will not only address the recently investigated HR gaps identified by such scholars as Auriacombe (2010:70), Esterhuysen (2011:13), Lamb (2004:2), and Veldtman (2018:iii), but will enhance the sustainability of the SMS in the DOD.

The study revealed three levels of capacity that included an enabling environment, organisational, and individual levels. These three levels provided a better understanding of areas considered when developing, implementing, and assessing the capacity development framework of SMS members in the DOD. They also represented the level of analysis and possible entry for a capacity development intervention, as the study focused on leadership and knowledge capacities of SMS in the DOD. Furthermore, the five-step process of capacity development serves as a link between the three areas of capacity development including, the capacity assessment framework, policy programme planning and design, and lastly, designing, implementing, monitoring, and evaluating capacity development intervention programmes. All this was incorporated in the proposed framework for the SMS in the DOD.

#### 7.5.2.2. Value Add in Total of Methodology

The study implemented the available methodological processes in the research world relevant to the study, starting with the application of the interpretivist paradigm (Bhattacharjee, 2012:106), following throughout the research process a qualitative approach and purposive sampling as proposed by Babbie and Mouton (2001:270) to

select only respondents from the DOD HR environment, the respective Services and Divisions and ETD sections. The researcher controlled the risks and biases that may result from being intrinsic in the case by applying certain strategies, such as credibility, transferability, dependability, and confirmability and to ensure quality data (Korstjens & Moser, 2018:120). In so doing, the theoretical framework in the study involved a holistic approach to get a logical explanation of some events through data analysis and evaluation of accountability documents of the DOD. These documents included the quarterly performance reports, annual reports, and the end/mid-term performance reviews which are all part of a bigger DOD system.

#### 7.5.2.3. Value Add in Total of Practice

The practicality of the study is based on the review of policies developed for SMS members in line with the Constitution of SA, which promotes that DOD senior management must be optimally educated, trained, and developed in the interest of individuals, the organisation, the broader Public Service, and the country. With the implementation of the proposed cyclical framework for capacity development of the SMS, the quality of employees in the SMS levels will determine the type of training and development obtained from the outcome of the assessment and the design phases from which the institutional capacity is enhanced (Auriacombe, 2010:67). This will also contribute towards the enhancement of gender equality and equity in the DOD, thereby enhancing the qualifications, accessibility, and employability of women in the DOD. The researcher is therefore of the opinion that education, training, and development should continuously take place at all levels of the DOD, including the SMS, without compromise.

## 7.6. CONCLUSION AND RECOMMENDATIONS

The study provided clarification on the reasons behind the establishment of the SMS, explained the concept of the SMS in SA and the DOD, including its purpose for existence for both the DAP and the PSAP SMS. It is therefore realised from the study that it is not possible to separate the DAP SMS members from the PSAP SMS members in the DOD in terms of the focus of the study, as the outcome of the study is meant to benefit both categories, especially since military expertise is leaning more towards civilian occupations and positions (Hachey et al., 2020:53). However, the

claim by Hachey et al. (2020:16) that military professionalism should be distinguished from other professions due to its values that are unique from those of civilian society is acknowledged in the study, especially for certain areas that almost exclusively involve armed forces. The study is concluded with recommendations for further studies and future research on areas of importance or relevance to the current research, yet could not be researched thoroughly for reasons discussed in paragraph 7.4. The study has several recommendations made for implementation in the DOD, to be clarified at this point.

Several recommendations that address policy prescripts, ETD doctrine, personnel profiles, and HR Functions were crafted for consideration together with a proposed capacity development framework in line with new developments during DOD transformation. It has transpired from literature that the availability of an ETD doctrine to outline the competence-based ETD and the principles of adult learning that enhance organisational lifelong learning priority is crucial. Hence a recommendation is forwarded for its development. Consequently, the discussion in Chapter 6 highlighted certain recommendations pertaining to the review of HR policies that address issues related to SMS career and development paths on transformation, deployment from DAP to PSAP posts, and the relevance of the officers' and civilian learning paths. In addition, the collaboration of developmental programmes with a career progression framework will empower employees with relevant up skilling competencies relevant for both DAP and PSAP.

Furthermore, the PMDS for SMS clearly stipulates the critical areas in the participation of SMS members in coalface critical for achieving the secondary mandate of being of assistance to other government institutions during a crisis in the country and/or the region. In that regard, Public Service (National School of Government, 2020:45) in addressing professionalism, recommends stabilising the political interface; Public Service administration careers of choice; strengthening delegation, accountability, and oversight; and improving interdepartmental coordination, which are among the areas of concern in the capacity development of the SMS, hence the need for implementation in the DOD. Such courses as Project KHAEDU that encourage departmental interrelations to enhance stakeholder liaison and advocacy are relevant in addressing such needs, but are currently not utilised in the DOD. It is therefore

critical that such courses be part of the curriculum for the SMS in the DOD, including human intervention courses, such as skills coaching which enforces effectiveness on the job through the relationship that exists between the coach and the coached.

In addition, it is critical that learning opportunities be identified on daily work activities beyond formalised ETD in dealing with CMCs that individuals indicated in their PMDSs through inputs provided in the review of learning paths. This will enhance profiles for the SMS that must be renewed to meet both current and future Defence obligations (Daniels, 2019:4) in HR functions (recruitment, promotion, training, and development, including exiting the system). However, the strategic intervention provided for the SMS to enhance continuous development, and the mandatory training days should be extended to DAP SMS members and be made compulsory, since they are directly linked to performance management and development, including lifelong learning. By so doing, the research and innovation by SMS members on areas of strategic leadership and management and the availability of SMS members as well-informed instructors and lecturers will be enhanced at all levels.

Lastly, the proposed cyclical capacity development framework with its five phases that encompass engaging stakeholders; assessment of needs; capacity development design; implementation that involves planning, budgeting, and monitoring; and lastly the evaluation of the project was clearly outlined in Chapter 6. The framework is recommended for implementation in the DOD to bring cohesion. The reader's attention is further drawn to the study limitations discussed in paragraph 7.3 above. On the other hand, these limitations contributed positively to the study through the views of the well-versed participants when it comes to HR and ETD processes.

## 7.7. RESEARCH JOURNEY

When reflecting on the research journey, it is worthy to write it in the first person to give the researcher's authentic experience of this journey. My research journey began with a statement that was converted to a research question from a background of managing ETD of the DOD civilian officials. Even after consulting several sources (Bhattacharjee, 2012; Booth et al., 2008; Eco, 2015; Lancaster, 2005; Patrick, 2015), converting a research statement to a research question remained a hard nut to crack for some time and became successful with guidance from my supervisors. Because

the researcher's aim is to address different audiences that include the peer reviewers, interested readers, and writers or researchers on the related problems of the research (Booth et al., 2008:27), my journey involved thorough reading of the sources that brought context to the key words: capacity development, competencies, compulsory development programmes, and senior management services. I identified those words to drive the search of relevant sources, starting from the presentation of the research proposal that led to the point of receiving an ethics approval (see Appendix D). Over and above those key words were of assistance throughout the research journey. In so doing, I identified the DOD as the research unit, because it is a workplace and a familiar, strategically important workplace and extended environment (Lancaster, 2005:10) to me, which assisted in streamlining the search of relevant source documents immediately after receipt of the DOD permission letter that gave me a go ahead with the study (see Appendix E).

The steps I followed in the process of developing my thesis enhanced my professional skills as a researcher (Eco, 2015:6) as I could demonstrate scholarly capability of furthering my expertise in HR. I presented the information from the identified documents on the topic I selected such that re-examination of the topic against the sources in the literature review brought synergy in designing a questionnaire and during data analysis with necessary sources made visible for readers to re-examine the topic. In addition, the fact that the problem is known in the DOD directed my decision of identifying the population, the research unit, and the purposive sampling towards a specific group of participants in the HR environment of the Services and Divisions. Subsequently, understanding the aim of writing a thesis as a graduate student and as a government official who will continuously do and report research on topics related to HR and ETD throughout my career added value to my experience. With this experience of understanding complexities of turning both the topic and the question into a research problem have improved my organising and reading skills by not only reading a report as a writer, but also as a reader.

With that background, the access to the DOD was critical, leading to the submission of a request for permission to access the research participants and the relevant documents for the study. As such, the results of the research project are meant to benefit the department much as it is beneficial for me to complete the study in a real-

life situation. The request from the DOD gatekeepers was followed by the approval from the Research Ethics Committee of Stellenbosch University for the research to be done on the topic without harming any person or compromising any institution in doing so. This exercise was coupled with defending the thesis based on documents read and views of other scholars through the research proposal, which I could not understand well at first, until I started with thesis writing where I could illustrate and demonstrate difficulties of the issue, with possible solutions, with growing confidence during the flow of chapters. I, therefore, limited the study by only focusing on the DOD, no other state department with SMS members in the broader Public Service. My focus assisted me in keeping the enthusiasm throughout the study, even during and beyond challenges I experienced as a novice researcher.

The continuous mentoring and coaching by the two expert diagnosticians kept directing my maturation and development back on track whenever I was losing direction, which prolonged the process that we agreed on during the signing of the MOU. The main challenges were at the pick, when writing Chapters 5 and 6, I could not distinguish between reporting data and data analysis, at least a milestone I could overcome with the understanding of the process of making a conceptual framework (Patrick, 2015:no pagination). The addition of the seventh chapter seemed blink for me to reach the end of the research, since I had to go back and read more about the approach in writing the new headings to address in the chapter without repeating word-for-word the areas already written. In the midst of all, the thesis had to be finalised. I worked on the last chapter while incorporating the changes in Chapter 6, which made it easier to work on the headings suggested for inclusion in Chapter 7 since they were talking to most of the areas I dealt with in the previous chapters. It is in the chapter of recommendations and culmination that I felt the presence of my supervisors as the cowriters. They reminded me of the recommendations I mentioned in the previous chapters, yet I did not indicate clearly in the last chapter.

The journey was not a plain sailing; on the contrary, it had more hurdles to overcome as one navigates but interesting, especially at the time of approval of the abstract by the International Public Administration and Development Alternatives (IPADA). This was followed by the approval of the article with minor corrections for submitting the manuscript for publication. I continued preparations to present the topic at a



conference, but the conference proceeded without my knowing the time to present due to the non-availability of the program that was supposed to indicate the time slot for presentation. When I made an enquiry indicating that I did not receive the program, I was promised to receive it prior to the conference, I was told to wait for the outcome of the review of the manuscript as it was underway. The results were positive for publication. This exciting process was sealed when I submitted the research article on 26 November 2021 and was confirmed for publication by IPADA on 23 December 2021. I consequently developed enthusiasm for further involvement in research. Hence the concluding remarks are made.

## 7.8. CONCLUDING REMARKS

The fact that the subjects in the project are senior officials in the department and the project involved the administration in HR systems for senior personnel, the researcher kept every step within the DOD protocol. The research was never intended to expose any information that might compromise the system and might have hindered full participation by participants. Subsequently, it remains important to highlight that military systems have been near untouchable areas in the history of SA, and authorities are still sensitive towards accessing the research fields of concern in the DOD, which often results in limited sources for the literature review. However, researching areas in HR is of utmost importance since they impact human development and management during a very critical time of and for transformation. The DOD is still battling to overcome various imbalances of the past which is a cause for the slow turning of the wheel for transformation.

However, the fact that the researcher is embedded in the DOD as a PSAP member in HR, brings greater understanding of the security classifications for DOD documentation which served as an advantage to the study where restricted information was often prevented from being accessed. Over and above, the researcher is proud to pronounce that the SMS members in the DOD HR environment who had access to the proposed capacity development framework since this research project was published, have interest to support when presenting it to the executive management of the DOD. The exposure of the study to other scholars and readers who judged the researcher through the submission of the abstract and the article for

publishing at the conference has also brought confidence about the thesis when it was appreciated and considered during peer review.

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## ADDENDA

### Appendix A: Research Questionnaire

#### DEPARTMENT OF DEFENCE (DOD) SURVEY

#### PERSONAL CAPACITY DEVELOPMENT OF SENIOR MANAGEMENT SERVICES (SMS)

#### QUESTIONNAIRE FOR HUMAN RESOURCE PRACTITIONER (HRP)

**You are kindly requested to give your perspective by completing this questionnaire.**

The purpose of the study is to gather information on capacity development of Senior Management Services (SMS) in the DOD over the period 2016 to 2019.

This questionnaire contains a combination of questions covering three sections, biographical information about SMS in the DOD, areas where capacity development is addressed in relation to the DOD and SMS members, and functional and technical areas to address through capacity development programmes.

The questionnaire will take you approximately 45 min to complete.

**Please take note of the following as you respond to the questions:**

- There are no right or wrong answers to the questions as this is not a test. Your opinion is the only right answer.
- It is easy to complete this questionnaire just by putting a cross (X) on an appropriate number or on Yes/No that reflects your view and by providing relevant information where there is a blank space as guided by the question.
- Some of the questions might be easily accessible from other directorates of human resource, feel free to leave them blank as they will be completed by relevant directorates.

#### SECTION A: BIOGRAPHICAL DETAILS

**This section is about DOD Human Resource information on Senior Management Services (SMS).**

**1. Within which Chief Directorate in Human Resource do you serve?**

Human Resource Division	<b>1</b>
Human Resource Management	<b>2</b>
Human Resource Development	<b>3</b>
Human Resource Policy, Strategy and Plan	<b>4</b>

Other – specify		5
-----------------	--	---

**2. Please provide the number of SMS with following highest academic qualifications.**

	Highest Qualification Obtained	Qualification in Progress	Qualification planned for 2020/21
	1	2	3
Grade 12/ Standard 10			
Certificate			
Diploma			
Post Graduate Diploma			
B Degree			
Honours Degree			
Master's Degree			
Doctorate			

**3. Confirm availability of occupational, post and competence profiles for SMS.**

Occupational Profiles	Yes	No
Post Profiles	Yes	No
Competence Profiles	Yes	No
If not available, please indicate what is available		

**SECTION B: CAPACITY DEVELOPMENT**

**This section needs information based on areas where capacity development addresses environmental, organisational, and individual levels.**

**PART I: Environment Capacity Level**

**4. Confirm availability of legal, regulatory and policy framework that address critical generic competences of SMS in the DOD.**

Performance Management System	Yes	No
National Treasury Finance Management System	Yes	No
Department of Corporate Government Sector System	Yes	No
Information Management System	Yes	No

DOD Policy for SMS		<b>Yes</b>	<b>No</b>
Others		<b>Yes</b>	<b>No</b>

<b>5. How many SMS members participated in Foreign Learning Opportunities (FLOs) over the period 2017 – 2019?</b>		<b>DAP</b>	<b>PSAP</b>			
Defence College Course						
Security and War Course						
Executive Programme in Defence Decision Making						
Senior International Defence Management Course						
Senior Leader Seminar						
Others - specify						
<b>6. How would you rate the impact of the FLOs on work performance of SMS members who benefited from the courses</b>		<b>Very Small Extent</b>	<b>Small Extent</b>	<b>Moderate Extent</b>	<b>Large Extent</b>	<b>Very Large Extent</b>
Defence College Course		1	2	3	4	5
Security and War Course		1	2	3	4	5
Executive Programme in Defence Decision Making		1	2	3	4	5
Senior International Defence Management Course		1	2	3	4	5
Senior Leader Seminar		1	2	3	4	5
Others		1	2	3	4	5
		1	2	3	4	5

**PART II: Organisational Capacity Level**

	<b>Very Small Extent</b>	<b>Small Extent</b>	<b>Moderate Extent</b>	<b>Large Extent</b>	<b>Very Large Extent</b>
<b>7(a). In your opinion, to what extent do the available policies on development achieve development goals of SMS members?</b>	1	2	3	4	5
<b>(b). To what extent is the SMS Policy aligned with national priorities that address development needs of SMS?</b>	1	2	3	4	5

(c). To what extent is the policy to promote e-Learning effective for SMS capacity development?	1	2	3	4	5
(d). To what extent is the effect of Performance Monitoring and Evaluation Capacity Development Strategy on capacity development of SMS?	1	2	3	4	5
8. Why do you say so?					
9. Are the following Human Resource systems efficient for achieving development goals of SMS members?					
Performance Management Development System	No Contribution	Little Contribution	Moderate Contribution	Large Contribution	Very Large Contribution
Individual Career Development Plans	1	2	3	4	5
Organisational Learning System	1	2	3	4	5
Competence- Based Management System	1	2	3	4	5
Others needed for reinforcement	1	2	3	4	5
10. Motivate your answer					
11. How would you describe the effect of the Advanced Training Management Course in achieving training and education management responsibilities?	Very Negative Effect	Negative Effect	No Effect	Positive Effect	Very Positive Effect
	1	2	3	4	5
12. To what extent did the DOD conduct training needs analysis/ skills development audit over the period 2016 to 2019?	Not at All		Incomplete	Complete	
	1	2	3		

### PART III: Individual Capacity Level

14. In your opinion,	Yes	No
15. Is	Yes	No
16. How many SMS members used e-learning over the period 2016 to 2019?		
22. How many SMS members undertook competency assessments for development over the period 2016 to 2019?		

23. How many new SMS appointments were made in the DOD over the period 2016 to 2019?			
24. Of the new employees in question 23 above how many underwent the Compulsory Induction Programme (CIP)?			
25. Of the new employees in question 23 above how many underwent the Orientation Programme?			
26. Do the learning paths have any effect in the development of SMS?		Yes	No
27. If no, which approach can ensure the effective and efficient implementation of the professional learning paths in the development of SMS? Indicate any gaps discernible.			

### SECTION C: FUNCTIONAL AND TECHNICAL CAPACITIES

This section needs information on management capacities needed in providing direction in the formulation, implementation and review of policies, strategies, programmes and projects, including capacities associated with areas of expertise.

#### PART I: Functional Capacities

28. Mention the Departments with which the DOD has established partnership for development of SMS?			
29. Have SMS members been trained on Government priorities related to international, continental, and Regional statutory bodies (NEPAD, AU, SADC, etc)	Yes	No	

#### PART II: Technical Capacities

30. How many SMS members participated in conferences / seminars with external professionals for support?			
31. Does the DOD have a code of ethics that is implementable to Defence Act Personnel (DAP) and Public Service Act Personnel (PSAP)?		Yes	No
32. Does the DOD have an internal Monitoring and Evaluation (M&E) system for development of SMS (DAP and PSAP)?		Yes	No
33. Is it feasible to have a common M&E system for the development of SMS (DAP and PSAP)?		Yes	No
34. If no, how possible can M&E for development of SMS members (DAP &			



PSAP) be done for the purpose of reporting?	
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..... **Thank You** .....

## DEPARTMENT OF DEFENCE (DOD) SURVEY

### PERSONAL CAPACITY DEVELOPMENT OF SENIOR MANAGEMENT SERVICES (SMS)

#### QUESTIONNAIRE FOR DIRECTOR EDUCATION TRAINING AND DEVELOPMENT (D ETD)

**You are kindly requested to give your perspective by completing this questionnaire. Please take note of the following as you respond to the questions:**

- There are no right or wrong answers to the questions as this is not a test. Your opinion is the only right answer.
- It is easy to complete this questionnaire just by putting a cross (X) on an appropriate number or on Yes/ No that reflects your view and by providing relevant information where there is a blank space as guided by the question.

### SECTION A: BIOGRAPHICAL DETAILS

**This section is about the Service or Division where ETD is provided and about SMS members receiving ETD opportunities. Only those Divisions with more than one SMS member are considered in the survey.**

1. Within which Service or Division do you serve?	
Ministry of Defence	1
Secretary for Defence	2
Chief Financial Officer	3
Chief Defence Policy, Strategy & Plan	4
Chief Defence Matériel	5
Defence International Affairs	6
Chief Joint Operations	7
Chief Army	8
Chief Air Force	9
Chief Navy	10

Surgeon General	11
Chief of Defence Intelligence	12
Chief Defence Foreign Relations	13
Chief of Human Resource	14
Chief Logistics	15
Chief CMIS	16
Chief Defence Legal Services	17
Chief Military Policy, Strategy & Plan	18
Defence Inspectorate	19
Military Ombudsman	20

**2. What is your post title in your Service or Division?**

D ETD	1
SSO ETD	2
Deputy Director ETD	3
Other – specify	4

**3. Provide the number of SMS members in your environment.**

Major General/ Rear-Admiral	
Brigadier General/ Rear-Admiral (Junior Grade)	
Chief Director	
Director	

**4. How many SMS members are in the following age group in your Service/Division?**

26 – 35 years	
36 – 45 years	
46 – 55 years	
56 – 65 years	

**5. How many SMS members represent the following racial group in your Service/Division.**

African	
Asian	
Coloured	
White	

<b>6. Provide the highest academic qualifications for SMS members in your Service/Division.</b>	
<b>6.1 How many obtained the following qualifications?</b>	
Higher Certificate	
Diploma	
Advanced Diploma	
Bachelor's Degree	
Honours Degree	
Post Graduate Diploma	
Master's Degree	
Doctorate	
<b>6.2 How many were busy with the following qualifications over the period 2016 – 2019?</b>	
Higher Certificate	
Diploma	
Advanced Diploma	
B Degree	
Honours Degree	
Post Graduate Diploma	
Master's Degree	
Doctorate	
<b>6.3 How many planned to study the following in 2020/21?</b>	
Higher Certificate	
Diploma	
Advanced Diploma	
B Degree	
Honours Degree	
Post Graduate Diploma	
Master's Degree	
Doctorate	

<b>7. How many SMS members have the following years of experience in the DOD?</b>	
1 – 5 years	
6 – 10 years	
11 – 20 years	
21 years and above	

<b>8. How many SMS members have the following years of experience in senior management level, outside the DOD?</b>	
1 – 5 years	
6 – 10 years	
11 – 20 years	
21 years and above	

<b>9. Confirm availability of following profiles for SMS members.</b>			
Occupational Profiles		<b>Yes</b>	<b>No</b>
Post Profiles		<b>Yes</b>	<b>No</b>
Competence Profiles		<b>Yes</b>	<b>No</b>
If not available, please indicate what is available		<b>Yes</b>	<b>No</b>
		<b>Yes</b>	<b>No</b>

<b>SECTION B: CAPACITY DEVELOPMENT</b>
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<b>This section needs information based on areas where capacity development addresses environmental, organisational, and individual levels.</b>			
<b>PART I: Environment Capacity Level</b>			
<b>10. Confirm accessibility of legal, regulatory and policy framework that address critical generic competences of SMS.</b>			
Performance Management System		<b>Yes</b>	<b>No</b>
National Treasury Finance Management System		<b>Yes</b>	<b>No</b>
Department of Corporate Government Sector System		<b>Yes</b>	<b>No</b>
Information Management System		<b>Yes</b>	<b>No</b>
DOD Policy for SMS		<b>Yes</b>	<b>No</b>
Others available			

<b>11. How many SMS members participated in Foreign Learning Opportunities (FLOs) over the period 2017 – 2019.</b>	
Defence College Course	
Security and War Course	
Executive Programme in Defence Decision Making	

Senior International Defence Management Course					
Senior Leader Seminar					
<b>12. How would you rate the impact of the FLOs on work performance of SMS members who benefited from the courses</b>	Low			High	
	1	2	3	4	5
Defence College Course	1	2	3	4	5
Security and War Course	1	2	3	4	5
Executive Programme in Defence Decision Making	1	2	3	4	5
Senior International Defence Management Course	1	2	3	4	5
Senior Leader Seminar	1	2	3	4	5

<b>PART II: Organisational Capacity Level</b>					
<b>13. Are the available policies on development efficient for achieving development goals of SMS members?</b>			<b>Yes</b>	<b>No</b>	
<b>14. If no, do they need clarification?</b>			<b>Yes</b>	<b>No</b>	
<b>15. Are the following Human Resource systems efficient for achieving development goals of SMS members?</b>					
Performance Management Development System			<b>Yes</b>	<b>No</b>	
Individual Career Development Plans			<b>Yes</b>	<b>No</b>	
Organisational Learning System			<b>Yes</b>	<b>No</b>	
Competence- Based Management System			<b>Yes</b>	<b>No</b>	
Others needed for reinforcement and indicate if available or not				<b>Yes</b>	<b>No</b>
				<b>Yes</b>	<b>No</b>
<b>16. Explain the difference made by the Advanced Training Management Course in ensuring that responsibilities in training and education management are achieved?</b>					
<b>17. Did your environment conduct training needs analysis/ skills development during the period 2016 to 2019?</b>			<b>Yes</b>	<b>No</b>	

<b>PART III: Individual Capacity Level</b>				
<b>18. Is there a policy to promote e-Learning in the DOD?</b>			<b>Yes</b>	<b>No</b>
<b>19. How many SMS members used e-learning over the period 2016 to 2019?</b>				

20. How many SMS members undertook competency assessments for development over the period 2016 to 2019?		
21. How many new SMS appointments were made in your environment during 2016 to 2019?		
22. Of the new employees in question 21 above how many underwent the Compulsory Induction Programme (CIP)?		
23. Of the new employees in question 21 above how many underwent the Orientation Programme?		
24. Do the learning paths have any effect in the development of SMS?	Yes	No
25. If no, which approach can ensure the effective and efficient implementation of the professional learning paths in the development of SMS?		

### SECTION C: FUNCTIONAL AND TECHNICAL CAPACITIES

This section needs information on management capacities needed in providing direction in the formulation, implementation and review of policies, strategies, programmes and projects, including capacities associated with areas of expertise.

#### PART I: Functional Capacities

26. Services and Divisions are the feeder system to the DOD skills development committee through their functional competency authorities. Explain briefly how does the process of identifying participants for courses benefit all SMS members to enhance DOD performance?

#### PART II: Technical Capacities

27. How many SMS members participated in conferences / seminars with external professionals for support over the period 2016 - 2019?		
28. Does the DOD have a code of ethics that is implementable to both Defence Act Personnel (DAP) and Public Service Act Personnel (PSAP)?	Yes	No
29. Does the DOD have an internal Monitoring and Evaluation system for development of SMS (both DAP and PSAP)?	Yes	No
30. Is it feasible to have a common Monitoring and Evaluation system for the development of SMS (both DAP and PSAP)?		

<p><b>31. If no, how possible can M&amp;E for development of SMS be done? Indicate any gaps discernible.</b></p>	
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**..... Thank You .....**

Appendix B: Performance Agreement (DOD Sample)

B-1



APPENDIX B  
TO CD HR M/D HR CM/R/104/1(21/22)  
DD \_\_\_\_\_ 2021

**PERFORMANCE AGREEMENT FOR DEPUTY DIRECTOR-GENERAL**

Initials and Surname of SMS Member	
Force number of SMS Member	
Rank of SMS Member	
Initials and Surname of Supervisor	
Service/Division	
Unit	
Performance cycle	
Appointment (Post Description)	

*Please identify dates for half-yearly and annual performance assessments*

Mid-year Performance review & assessment date:	
Annual Performance assessment date:	

**DISPUTE RESOLUTION MECHANISM**

Disputes on the signing of PAs will be dealt with in terms of Regulation 72(4)(5)&(6) of the Public Service Regulations, 2016. Any disputes about the assessment, shall be mediated by a person agreed to by the SMS member and the Supervisor.

Name of Mediator: \_\_\_\_\_

\_\_\_\_\_  
SIGNATURE OF SMS MEMBER

\_\_\_\_\_  
SIGNATURE OF SUPERVISOR

Date: \_\_\_\_\_

Date: \_\_\_\_\_



Categories	Key Result Area	Batho Pele Principles	Weighting
Individual Performance			
<b>Note: the sum of the weightings of KRAs must add up to 100%</b>			
<b>KRAs Total Weighting</b>			<b>60%</b>
Auditor General	This component will focus on the measurement of the extent of the departmental financial and legislative compliance. There should be no material findings on con-compliance with legislation and the financial statement should be free from material misstatements.		20%
<b>Total Weighting: Auditor Generals Findings &amp; Opinions (apply to DDGs)</b>			<b>20%</b>
Organisational Performance	This component will focus on assessing the organisational performance based on the predetermined target in the Annual Performance Plan (APP) and the audited Annual Report (AR) will be used to establish the extent in which the objective in the APP has been achieved.		20%
<b>Total weight: The organisational performance ( apply to DDGs)</b>			<b>20%</b>
<b>GRAND TOTAL: KRAs + Auditor-General + Organisational Performance (APP)</b>			<b>100%</b>

**Generic Management Competencies: Personal Development Plan**

No	Core Management Competencies (CMCs)	Process Competencies (PCs)	Dev. Required	
			CMCs Yes/No	PCs Yes/No
1	Strategic Capability and Leadership	Knowledge Management		
2	People Management and Empowerment	Service Delivery Innovation		
3	Programme and Project Management	Problem solving and analysis		
4	Financial Management	Client Orientation		
5	Change Management	Customer focus Communication		
<b>Other Development Required</b>				
1				
2				
3				

SIGNATURE OF SMS MEMBER

SIGNATURE OF SUPERVISOR

Date: \_\_\_\_\_

Date: \_\_\_\_\_

B-3

ANNEXURE 1  
TO APPENDIX B

WORKPLAN FOR DEPUTY DIRECTOR-GENERAL

KEY RESULT AREAS	KEY ACTIVITIES	WEIGHT	PERFORMANCE MEASURES/STANDARD		RESOURCE REQUIRED	ENABLING CONDITION
			TARGET DATE	INDICATOR / TARGET		
		%				
		%				
		%				
		%				
	Total weight for the KRA	%				
		%				
		%				
		%				
		%				
	Total weight for the KRA	%				
		%				
		%				
		%				
		%				
	Total weight for the KRA	%				
		%				
		%				
		%				
	Total weight for the KRA	%				

Initials: \_\_\_\_\_

Initials: \_\_\_\_\_

CONFIDENTIAL  
(WHEN COMPLETED)

B-4

ANNEXURE 2  
TO APPENDIX B

PERSONAL DEVELOPMENTAL PLAN FOR DDG

NO	DEVELOPMENTAL AREAS	TYPES OF INTERVENTIONS (MENTORING/COURSE/WORKSHOP/SEMINARS)	TARGET DATE

SMS Signature : \_\_\_\_\_ Date: \_\_\_\_\_

Supervisor's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

## Appendix C: Excel Spread Sheet

S/N	Question	Responses	Coding Methods	Codes	Categories	Themes
1	What is your post title in your service or division?		Director - 8			
	Post title		SSO ETD - 2			
			Deputy Director ETD - 1			
			SO1 ETD -1			
			SO2 ETD - 1			
			ASD HR Support - 1			
			Deputy Director HR Management - 1			
2	Please Provide the number of SMS members in your environment.		Major General - 1			
	Number of SMS in Services and Divisions		Major General/ Rear Admiral - 7			
			Brigadier General/ Rear Admiral (Junior Grade) - 19			
			Civilian-Chief Director - 10			
			Civilian-Director - 4			
3	Within which Chief Directorate in Human Resource do you serve?		Human Resource Division - 2			

S/N	Question	Responses	Coding Methods	Codes	Categories	Themes						
		Post title	Human Resource Management - 2									
			Human Resource Development - 2									
			Human Resource Policy, Strategy, and Plan - 2									
4	Please provide the number of SMS members with the following highest academic qualifications.	Please Provide the number of SMS members with the following highest academic qualifications in DOD.	<table border="0"> <tr> <td><b>Obtained</b></td> <td><b>Progress</b></td> <td><b>Planned</b></td> </tr> <tr> <td>Grade 12/STD 10 054</td> <td>1</td> <td>1</td> </tr> </table>	<b>Obtained</b>	<b>Progress</b>	<b>Planned</b>	Grade 12/STD 10 054	1	1	Magnitude Coding		
<b>Obtained</b>	<b>Progress</b>	<b>Planned</b>										
Grade 12/STD 10 054	1	1										
	Highest Qualification		Certificate 150	Magnitude Coding								
			Diploma 12	Magnitude Coding								
			Post Graduate Diploma 25                      4 10	Magnitude Coding								
			B Degree 29                      16 23	Magnitude Coding								
			Honours Degree 19                      32 41	Magnitude Coding								
			Master's Degree 21                      7 2	Magnitude Coding								
			Doctorate									

S/N	Question	Responses	Coding Methods	Codes	Categories	Themes
5	Please provide the number of years your SMS members have in senior management level.		<b>Private Sector Service</b> <b>Public DOD</b> Below 1 year                      0 0    2	Magnitude Coding		
	Years of SMS Experience		1-5 years                      0 0    8	Magnitude Coding		
			6-10 years                      0 0    13	Magnitude Coding		
			11-12 years                      0 0    10	Magnitude Coding		
			21 years & above                      0 0    2	Magnitude Coding		
6	Confirm availability of occupational, post and competence profiles for SMS.	Confirm availability of occupational, post and competence profiles for SMS.	<b>Yes</b> <b>No</b> Occupational Profiles 5    5	Magnitude Coding		
	Available Profiles		Post Profiles 11    1	Magnitude Coding		
			Competence Profiles 5    3	Magnitude Coding		
			Chief HR Instructions 1	Magnitude Coding		
			SMS Handbook 1	Magnitude Coding		

S/N	Question	Responses	Coding Methods	Codes	Categories	Themes
8	How many SMS members participated in FLOs over the period 2017 - 2019?	How many SMS members participated in FLOs over the period 2017 - 2019?	<b>DAP PSAP</b> Defence College Course 100 1	Magnitude Coding		
	Participation		Security and War Course 92	Magnitude Coding		
			Executive Programme in Defence Decision Making 29	Magnitude Coding		
			Senior International Defence Management Course 20 1	Magnitude Coding		
			Senior Leader Seminar 8	Magnitude Coding		
			Senior Mission Leaders Course 1	Magnitude Coding		
			Strategic Thinking for Flag Officers 1	Magnitude Coding		
9	How would you rate the impact of FLO on work performance of SMS members who benefited from the courses?	How would you rate the impact of FLO on work performance of SMS members who benefited from the courses?	<b>VS S M L VL</b> Defence College Course 1 - 1 4 1	Magnitude Coding	Large impact	Culture

S/N	Question	Responses	Coding Methods	Codes	Categories	Themes
	Impact on Participation		Security and War Course 1 - 1 3 2	Magnitude Coding	Large impact	
			Executive Programme in Defence Decision Making 2 4 1	Magnitude Coding	Large impact	
			Senior International Defence Management Course 2 2 1	Magnitude Coding	Medium/ Large impact	
			Senior Leader Seminar 1 2 1 1	Magnitude Coding	Medium impact	
			Senior Mission Leaders Course 1 1 - -	Magnitude Coding	Medium impact	
			Strategic Thinking for Flag Officers 1 - -	Magnitude Coding	Medium impact	
	<b>Part II: Organizational Level</b>		Magnitude Coding			
10	In your opinion, to what extent do the available policies on development achieve development goals of SMS?	In your opinion, to what extent do the available policies on development achieve development goals of SMS? Available policies	<b>VS S M L VL</b> 2 - 5 4 2	Magnitude Coding	Medium impact	
11	Why do you say so? Support on policies	Why do you say so?	Available Policies offer the structured system of how to start the development and offer the	Descriptive Coding Process/	Structured system, Policies,	Monitor and Evaluate



			support system during the development of members.	Action Coding	support system, development	
			SMS are being developed more on an individual benefit rather than the DOD, mostly are left with few years of service to go out of the system, why are they not equipped in early ages to benefit the state,	Descriptive Coding Magnitude Coding	system, not equipped, state, individual	Management
			Very little emphasis is placed on development of SMS members.	Magnitude Coding Descriptive Coding	Very little emphasis, development	plan
			If it includes DAP and PSAP members it will guide implementation. The challenge always lies in communication for execution. Career and Training Management must therefore work hand in hand in order to compile and update proper career and development plans.	Process/Action Coding Descriptive Coding Evaluation Coding Initial Coding	implementation, communication, execution, Career, Training Management, proper career, development plans	opportunities
			We don't get opportunities to attend the courses - limited availability.	Descriptive Coding	opportunities, courses	performance
			Because the implementation plan is not in place.	Process/Action Coding Descriptive Coding	no implementation plan	plan
			Defence Civilian SMS: Moderate Extent. Reason: Development goals for civilians are mostly	Process/Action Coding	Development goals, general development,	culture

			prescribed by DPSA for <b>general development</b> , which is <b>not focused</b> in building Defence Civilian <b>SMS capacity</b> . Military SMS: Large Extent: Reason: <b>SANDF courses</b> to be completed by a person to be appointed in SMS are <b>focused</b> on SANDF and defence and security requirements in broad.	<b>Descriptive Coding</b> <b>Magnitude Coding</b>	SMS capacity, not focused, SMS capacity, SANDF courses, focused, moderate extent	
			The DOD has a <b>good intranet</b> and <b>internal communication portal</b> to <b>assist</b> and <b>inform members</b> .	<b>Process/Action Coding</b> <b>Descriptive Coding</b>	good intranet, internal communication portal, assist, inform	Service delivery
			a. <b>Lack of interests</b> - it is moderate extent because the SMS members lack interests pursuing training and development activities or initiatives. Proposed remedy - <b>market training</b> of SMS members (PSAP), e.g. <b>advertise</b> on <b>DOD website</b> , etc.  b. <b>Implementation of policies skewed implementation of policies</b> , e.g. DOD concentrates on <b>courses/ FLO</b> which are <b>military orientated</b> , see paragraph 8 supra. Proposed remedy - <b>manage slots</b> to be <b>allocated</b> to PSAP	<b>Evaluation Coding</b>  <b>Process/Action Coding</b>  <b>Descriptive Coding</b>  <b>Initial Coding</b>	Lack of interests, market training, advertise, DOD website, Implementation, policies, skewed implementation, policies, courses, FLO, military orientated, manage slots, allocated, Lack of coordination, lack of policies, enforce submission, competencies, development,	Culture

			<p>members to ensure all Divisions are fairly afforded FLO.</p> <p>c. <b>Lack of coordination</b> - lack of coordination between Directorate Career Management and Directorate responsible for training and development of PSAP also hinders proper development of SMS members, e.g. <b>lack of policies</b> to <b>enforce submission</b> of areas/ <b>competencies</b> requiring <b>development</b> to the Directorate responsible for training and development of SMS members (PSAP) after new appointees completed <b>competence based assessment</b>. <b>Lacking submission</b> of <b>training requirements</b> outlined in the " <b>development plans</b>" in the <b>performance agreements</b> of SMS members.</p> <p>Proposed remedy - Directorate <b>Career Management</b> and Directorate responsible for training and development of PSAP must have <b>common approach</b> to address <b>development</b>.</p>		<p>competence based assessment, Lacking submission, development plans, performance agreements, Career Management, common approach, training requirements</p>	
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## Appendix D: Ethics Approval Letter

**NOTICE OF APPROVAL**

REC: Social, Behavioural and Education Research (SBER) - Initial Application Form

18 February 2021

Project number: 15397

Project Title: Conceptualising Personal Capacity Development Framework for Senior Management Service in the Department of Defence.

Dear Ms NCEDIWE LEDWABA

**Co-investigators:**

Your REC: Social, Behavioural and Education Research (SBER) - Initial Application Form submitted on 20/08/2020 06:59 was reviewed and approved by the REC: Social, Behavioural and Education Research (REC: SBE).

Please note below expiration date of this approved submission:

**Ethics approval period:**

Protocol approval date (Humanities)	Protocol expiration date (Humanities)
18 February 2021	17 February 2024

**GENERAL REC COMMENTS PERTAINING TO THIS PROJECT:**

The proposal should be updated to include the changes made to the form, especially those related to data storage and security.

**INVESTIGATOR RESPONSIBILITIES**

Please take note of the General Investigator Responsibilities attached to this letter. You may commence with your research after complying fully with these guidelines.

**If the researcher deviates in any way from the proposal approved by the REC: SBE, the researcher must notify the REC of these changes.**

Please use your SU project number (15397) on any documents or correspondence with the REC concerning your project.

Please note that the REC has the prerogative and authority to ask further questions, seek additional information, require further modifications, or monitor the conduct of your research and the consent process.

**CONTINUATION OF PROJECTS AFTER REC APPROVAL PERIOD**

You are required to submit a progress report to the REC: SBE before the approval period has expired if a continuation of ethics approval is required. The Committee will then consider the continuation of the project for a further year (if necessary).

Once you have completed your research, you are required to submit a final report to the REC: SBE for review.

**Included Documents:**

Document Type	File Name	Date	Version
Recruitment material	Invitation to participate in a survey	24/07/2020	1
Proof of permission	Authority to conduct research in the DOD Mrs NV Ledwaba	25/07/2020	1
Data collection tool	Research Questionnaire for Director ETD Revised	06/08/2020	1
Data collection tool	Research Questionnaire for HRM Revised	06/08/2020	1
Informed Consent Form	Electronic Survey Consent 2020	06/08/2020	1

Research Protocol/Proposal	Final Research Proposal v2	17/08/2020	2
Default	RESPONSE LETTER TO REC	19/08/2020	1

If you have any questions or need further help, please contact the REC office at [cgraham@sun.ac.za](mailto:cgraham@sun.ac.za).

Sincerely,

Clarissa Graham

REC Coordinator: Research Ethics Committee: Social, Behavioral and Education Research

National Health Research Ethics Committee (NHREC) registration number: REC-050411-032.  
The Research Ethics Committee: Social, Behavioural and Education Research complies with the SA National Health Act No.61 2003 as it pertains to health research. In addition, this committee abides by the ethical norms and principles for research established by the Declaration of Helsinki (2013) and the Department of Health Guidelines for Ethical Research: Principles Structures and Processes (2<sup>nd</sup> Ed.) 2015. Annually a number of projects may be selected randomly for an external audit.

## Principal Investigator Responsibilities

### Protection of Human Research Participants

As soon as Research Ethics Committee approval is confirmed by the REC, the principal investigator (PI) is responsible for the following:

**Conducting the Research:** The PI is responsible for making sure that the research is conducted according to the REC-approved research protocol. The PI is jointly responsible for the conduct of co-investigators and any research staff involved with this research. The PI must ensure that the research is conducted according to the recognised standards of their research field/discipline and according to the principles and standards of ethical research and responsible research conduct.

**Participant Enrolment:** The PI may not recruit or enrol participants unless the protocol for recruitment is approved by the REC. Recruitment and data collection activities must cease after the expiration date of REC approval. All recruitment materials must be approved by the REC prior to their use.

**Informed Consent:** The PI is responsible for obtaining and documenting affirmative informed consent using **only** the REC-approved consent documents/process, and for ensuring that no participants are involved in research prior to obtaining their affirmative informed consent. The PI must give all participants copies of the signed informed consent documents, where required. The PI must keep the originals in a secured, REC-approved location for at least five (5) years after the research is complete.

**Continuing Review:** The REC must review and approve all REC-approved research proposals at intervals appropriate to the degree of risk but not less than once per year. There is **no grace period**. Prior to the date on which the REC approval of the research expires, **it is the PI's responsibility to submit the progress report in a timely fashion to ensure a lapse in REC approval does not occur**. Once REC approval of your research lapses, all research activities must cease, and contact must be made with the REC immediately.

**Amendments and Changes:** Any planned changes to any aspect of the research (such as research design, procedures, participant population, informed consent document, instruments, surveys or recruiting material, etc.), must be submitted to the REC for review and approval before implementation. Amendments may not be initiated without first obtaining written REC approval. The **only exception** is when it is necessary to eliminate apparent immediate hazards to participants and the REC should be immediately informed of this necessity.

**Adverse or Unanticipated Events:** Any serious adverse events, participant complaints, and all unanticipated problems that involve risks to participants or others, as well as any research-related injuries, occurring at this institution or at other performance sites must be reported to the REC within **five (5) days** of discovery of the incident. The PI must also report any instances of serious or continuing problems, or non-compliance with the REC's requirements for protecting human research participants.

**Research Record Keeping:** The PI must keep the following research-related records, at a minimum, in a secure location for a minimum of five years: the REC approved research proposal and all amendments; all informed consent documents; recruiting materials; continuing review reports; adverse or unanticipated events; and all correspondence and approvals from the REC.

**Provision of Counselling or emergency support:** When a dedicated counsellor or a psychologist provides support to a participant without prior REC review and approval, to the extent permitted by law, such activities will not be recognised as research nor the data used in support of research. Such cases should be indicated in the progress report or final report.

**Final reports:** When the research is completed (no further participant enrolment, interactions or interventions), the PI must submit a Final Report to the REC to close the study.

**On-Site Evaluations, Inspections, or Audits:** If the researcher is notified that the research will be reviewed or audited by the sponsor or any other external agency or any internal group, the PI must inform the REC immediately of the impending audit/evaluation.

Appendix E: DOD Permission Letter

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Telephone: 072 275 3258  
Email: [mco.ngce@webmail.co.za](mailto:mco.ngce@webmail.co.za)  
Enquiries: Mrs N.V. Ledwaba



SANDC/R/SDSP 06/2020

SA National Defence College  
Private Bag X 1021  
Thaba Tshwane  
0001

30 April 2020

**AUTHORITY TO CONDUCT RESEARCH IN HUMAN RESOURCE: SDSP 06/2020 MASTERS  
DEGREE IN MILITARY SCIENCE: SOUTH AFRICAN NATIONAL DEFENCE COLLEGE: 82005596CA,  
MRS NV LEDWABA**

Appendix A: Authority to Conduct Research in the Department of Defence (DOD) Mrs N.V. Ledwaba

1. I am a Security and Defence Study Programme (SDSP) M Mil programme member at the South African National Defence College (SANDC), presently doing a research with the Military Academy through Stellenbosch University.
2. I hereby request a permission to conduct research study and collect data on the topic: *"Conceptualisation of a Framework for Personal Capacity Development of the Senior Management Services in the Department of Defence."*
3. The research will require legislations and policies for SMS, statistics on the number of participants in courses or programmes and generic competencies addressed by the programmes. The research will also require more information through a questionnaire that will be distributed to personnel in Human Resource (HR). An approval from Defence Intelligence is attached (see App A).
4. Your sincere cooperation and consideration will be highly appreciated.

A handwritten signature in black ink, appearing to be 'N.V. Ledwaba'.

(N.V. LEDWABA)  
SDSP PROGRAMME MEMBER: MRS

APPROVED/NOT APPROVED BY COMMANDANT OF SA NATIONAL DEFENCE COLLEGE

A handwritten signature in black ink, appearing to be 'M.F. Sereko'.

(M.F. SEREKO)  
COMMANDANT SA NATIONAL DEFENCE COLLEGE: BRIG GEN  
AS DIRECTOR

Date 30 APRIL 2020

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**AUTHORITY TO CONDUCT RESEARCH IN HUMAN RESOURCE: SDSP 06/2020 MASTERS  
DEGREE IN MILITARY SCIENCE AT SOUTH AFRICAN NATIONAL DEFENCE COLLEGE:  
82005596CA, MRS NV LEDWABA**

**REMARKS BY CHIEF HUMAN RESOURCE**

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*Approved*

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*AK*

**(A.E. KUBU)  
CHIEF HUMAN RESOURCE: VICE ADMIRAL**

**DSTR**

For Action

Chief Human Resource

File: SANDC/R/SDSP 06/2020

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APP A To  
SANDC/R/SDSP 06/2020  
DD APRIL 2020



defence intelligence  
Department:  
Defence  
REPUBLIC OF SOUTH AFRICA

DI/DDS/202/3/7

Telephone: (012) 315-0215  
Fax: (012) 326-3246  
Enquiries: Col J. van Wyk

Defence Intelligence  
Private Bag X337  
Pretoria  
0001  
09 April 2020

**AUTHORITY TO CONDUCT RESEARCH IN THE DEPARTMENT OF DEFENCE (DOD)  
MRS N.V. LEDWABA**

1. A receipt of a request letter SANDC/R/103/1/61(SDSP 06/20) dd 27 March 2020 to conduct research in the DOD with a Research Proposal attached as per requirement is acknowledged.
2. Mrs N.V. Ledwaba – who is enrolled as a student on Security and Defence Studies Programme (SDSP) 06/2020 at the SA National Defence College (SANDC) - is hereby granted permission from a security perspective to conduct research in the DOD on the topic entitled **“Analysing Personal Capacity Development of the Senior Management Services in the Department of defence,”** submitted for a Masters Degree in Military Science under the tutelage of the Military Academy as requested.
3. After the completion of the research, the final research product must be forwarded to Defence Intelligence (DI), Sub-Division Counter Intelligence (SDCI) for a final authorisation before it may be published or distributed to any entity outside the DOD.
4. Access to DOD information is however granted on condition that there is adherence to inter alia Section 104 of the Defence Act (Act 42 of 2002) pertaining to protection of DOD Classified Information and the consequences of noncompliance.
5. For your attention.

**(T.G. BALOYI)**  
**ACTING CHIEF DIRECTOR COUNTER INTELLIGENCE: BRIG GEN**  
KS/KS (Mrs N.V. Ledwaba)

DSTR

For Action

Commandant SA National Defence College

(Attention: Mrs N.V. Ledwaba)

File: DI/DDS/R/202/3/7

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