Abbreviations

ABET: Adult Basic Education and Training.

APO: Asian Productivity Organisation.

ASTD: American Society for Training and Development.

C J Trg: The Chief of Joint Training.

COLET: SANDF College of Educational Technology.

CPIP: Continuous Performance Improvement Programme.

CSS: Core Service System.

CTS: Conformance to Specifications.

DAP: Defence Act Personnel.

DOD: South African Department of Defence.

DODI: Department of Defence Instruction.

DSC: The Defence Staff Council.

EFQM: The European Foundation for Quality Management.

ETD: Education Training and Development.

ETDP: ETD practitioner.

ETQA: Education and Training Quality Assurance body.

HRD: Human Resource Development.

ICAO: Civil Aviation Organisation.

JUSE: The Union of Japanese Scientists and Engineers.

MBNQA: Malcolm Baldrige National Quality Award.

MSD: Military Skills Development System.

NQA: National Quality Award.

NQF: National Qualification Framework.

NSB: National Standards Body.

OBET: Outcomes Based Education and Training.

PSAP: Public Service Act Personnel.

QMS: Quality Management Systems.

RADAR: Results, Approach, Deployment, Assessment and Review.

SAEA: South African Excellence Award.

SAEF: The South African Excellence Foundation.

SAEM: The South African Excellence Model.

SANDF: South African National Defence Force.

SAQA: South African Qualifications Authority.

SAQI: South African Quality Institute.

SCS: Senior Career System.

SecDef: Secretary of Defence.

SETA: Sector Education and Training Authority.

SGB: Standard Generating Body.

SME: Small and Medium Enterprise.

TQM: Total Quality Management.

Key Terms

Accreditation
Continuous Performance Improvement
Excellence Criteria
Fundamental Principles of Excellence
National Quality Awards
Organisational self-assessment
Quality
Quality Assurance
South African Excellence Model
Total Quality Management

Quality does not happen by accident. It requires commitment and constant attention from all those who are involved in the process.

S.B.A. Issacs   (2000)

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INTRODUCTORY ORIENTATION

1.1   BACKGROUND

The Constitution of the Republic of South Africa is very clear in providing a national imperative for human development through Education Training and Development (ETD) when it states the following in its preamble:

> Improve the quality of life of all citizens and free the potential of each person (South Africa 1996:1).

In a new democratic South Africa, an integrated approach to national workplace education and training is supported by both legislative and policy frameworks that promote the transformation of learning (Meyer, Mabaso & Lancaster 2002:vii). The Employment Equity and Skills Development Acts as well as the South African Qualifications Authority Act with the generation of unit standards in the field of Education, Training and Development (ETD) in accordance with the requirements of the National Qualifications Framework (NQF) and the South African Qualifications Authority (SAQA) regulations, are examples of this new integrated approach (Van Wyk & Mothata 1999; Meyer et al. 2002; Erasmus & Van Dyk 2003). ETD now forms part of the broader national strategy of Human Resource Development (HRD) and must provide short and medium term interventions to ensure that the long-term goals of HRD are achieved (Meyer & Mokoele 2002:15).

Education and training programmes within the South African Department of Defence (DOD) are a cardinal means of building and maintaining a high level of professionalism. In this regard the Constitution provides that all members of the South African National Defence Force (SANDF) "shall be properly trained in order to comply with international standards of competency" (DOD 1996:10).

The mission of the DOD is to provide, manage, prepare and employ defence capabilities commensurate with the needs of South Africa as regulated by the Constitution, National

Legislation, Parliamentary and Executive Direction (DOD 2001:2). The DOD must therefore align its ETD with the NQF. The Overarching Policy Framework for Education, Training and Development in the Department of Defence (DOD 2003), provides the common frame of reference and understanding amongst DOD ETD Providers and provides an overarching framework from which subsequent specific, joint, common and unique ETD policies can be developed. By implementing these policies, all ETD providers in the Department must ensure that effective, efficient and economic use of resources is achieved in the DOD ETD environment. The overarching policy should introduce and implement policies and procedures aimed at sustaining the DOD ETD system as a dynamic, needs-based and pro-active instrument, capable of playing an integral and strategic part in the processes of a transformed DOD for a new democratic society in South Africa (Kleynhans 2003:8).

The Chief of Joint Training (C J Trg) is the DOD ETD system owner and is responsible for aligning and coordinating the external ETD control framework as provided by National Legislation (DOD 2003:5). DOD formal learning environments should therefore be designed by utilising the NQF principles, the requirements of Outcomes Based Education and Training (OBET) and an adult learning approach. The DOD is therefore also obliged to respond to high order government imperatives with respect to Adult Basic Education and Training (ABET).

1.2 INTRODUCTION

Meyer (2002:267-268) states that the ETD function in South Africa has changed from traditional training management to quality management. This transformation in ETD requires the creation of a new organisational culture, one that will differ significantly in the way ETD is managed. Changed legislation in South Africa such as the South African Qualifications Authority Act (South Africa 1995) represents a paradigm shift with regard to the quality of ETD. If quality becomes the focus, then continuous improvement will form the cornerstone of an ETD quality management system. An organisation's approach to ETD is therefore of paramount importance in supporting the organisation's quality management strategy and ensuring that ETD meets the quality required by legislation.

SAQA (2001b:9) defines Quality Management Systems (QMS) as the combination of processes used to ensure that the degree of excellence specified is achieved. Ultimately

QMS is about creating a 'quality' culture across an organisation. The key consideration in the QMS is to secure continual improvement in quality, at present and in the future in order to meet customer expectations. South African companies are now challenged to apply quality management in the field of ETD and their function is to manage and improve ETD processes, and not only to control the activities of ETD staff members (Meyer 2002:268-269).

SAQA (2001a:11-14), highlights two dominant approaches of quality assurance and management within the system. These are the 'Total Quality Management' (TQM) and 'Conformance to Specifications' (CTS) approaches.

- In the TQM model (SAQA 2001a:11) the objective of quality management and quality assurance is part of the process of managing a changing organisation, culture and environment. This approach is also highly people-orientated and participative and assumes that all members of the organisation are responsible for quality assurance. Svensson (2004:25) illustrates that the fundamental principles of TQM include *progressive change* and *improvement.* SAQA (2001a:15) adds that the SAQA Act (South Africa 1995) is explicit that at the heart of the proposed orientation to quality within the South African education and training context, is the concept of transformation.

- The CTS approach, on the other hand, is more rigid and technical to ensure the conformance to predetermined standards or specifications. As SAQA is fundamentally an accreditation body charged with the responsibility to specify what will and what will not be certified and on what grounds, it also uses the CTS model in some respects (SAQA 2001a:14-17).

SAQA, (2001a:17) therefore, recognises that their quality management approaches are developed from both a CTS and a TQM point of view, or from a combination of both. SAQA therefore integrates both the TQM and CTS models as a 'mixed model', in its definition of quality.

If training units in SANDF would pursue a strategy of continuous performance improvement, a TQM approach, a CTS approach and a Training Evaluation approach as

three distinctive but interrelated components of or approaches to quality management must therefore be addressed and assessed.

1.2.1   A TQM Approach and the Assessment of Organisational Excellence

Mainly due to the introduction of International Quality Awards (see section 3.3) the TQM approach was gradually adapted to the service industry, which included the ETD sector (e.g. Baldrige 2005h).

As the term describes, TQM is an *all-inclusive* approach. The Deming Prize Committee (Deming Institute 2000b) states that TQM is a set of systematic activities carried out by the *entire organisation* to achieve company objectives effectively and efficiently. Basu and Wright (2004:184) add that TQM is a philosophy embracing the *total culture of an organisation* and requires a culture where *every member* of the organisation believes that not a single day should go by without the organisation in some way improving its efficiency. Oakland (2003:32-33) believes that TQM is a *comprehensive approach* to improving competitiveness, effectiveness and flexibility through planning, organising and understanding each activity, and involving each individual at each level.

When assessing organisational performance from a TQM point of view, the assessment should be comprehensive and include all the activities in the organisation. This all-inclusive assessment will also embrace the total culture of the organisation and involve all members at all levels in the organisation. Per definition this approach to quality would therefore include all other endeavours to assure quality and improve performance.

One may, however, question whether it is possible and suitable to bring the values that are a base for TQM and the corresponding TQM culture into the private sector, to the environment in educational organisations or whether the tools within the TQM-field, originally developed and used by manufacturing companies can be directly transferred to educational organisations (Svensson 2004:7).

1.2.2 A CTS Approach And The Verifying Of Accreditation Requirements

The Education and Training Quality Assurance Bodies (ETQA) Regulations (SAQA 2001c:17) provide for SAQA to accredit ETQAs who, in turn, are responsible for the accreditation of ETD providers. Here provider is defined (SAQA 2001c:19) as a body which delivers learning programmes which culminates in specified NQF standards or qualifications and manages the assessment thereof. Coetzee (2002:41) therefore emphasises that providers are all required to apply for accreditation and registration within the context of the NQF outcomes-based education and training quality system and as such they are entering a quality assurance process with the appropriate ETQA when they are accredited. ETQAs, in turn, and amongst other functions, should accredit constituent providers for learning provision and assessment of learning achievements against these standards and qualifications (SAQA 2001c:8).

The ETQA Bodies Regulations (SAQA 2001c:17) defines accreditation as the certification, usually for a particular period of time, of a person, a body or an institution as having the capability to fulfill a particular function in the quality assurance system set up by the SAQA in terms of the act.

In order to be accredited, SAQA (2001c:21) has stated that a body may be accredited as a provider by an ETQA whose primary focus coincides with the primary focus of the Provider, provided that the body is seeking accreditation on the basis that it:

- is registered as a provider in terms of the applicable legislation at the time of application for accreditation;
- has a quality management system which includes but is not limited to –
    - quality management policies which define that which the provider wishes to achieve;
    - quality management procedures which enable the provider to practise its defined quality management policies; or
    - review mechanisms which ensure that the quality management policies and procedures defined are applied and remain effective;
- is able to develop, deliver and evaluate learning programmes which culminate in specified registered standards or qualifications;
- has the –

- o necessary financial, administrative and physical resources;
- o policies and practices for staff selection, appraisal and development;
- o policies and practices for learner entry, guidance and support systems;
- o policies and practices for the management of off-site practical or work-site components where appropriate;
- o policies and practices for the management of assessment which include appeals systems;
- o necessary reporting procedures; and
- o the ability to achieve the desired outcomes, using available resources and procedures considered by the Education and Training Quality Assurance Body to be needed to develop, deliver and evaluate learning programmes which culminate in specified registered standards or qualifications and
- • has not already been granted accreditation by or applied for accreditation to another Education and Training Quality Assurance Body

If a learning provider with an accredited learning system does not adhere to the accreditation standards, its accreditation status can be suspended immediately. No trainee credits will be registered in respect of competence assessments that were passed after the date of suspension. Accreditation will be reinstated only once the learning provider has proved that the accreditation standards are being met (Coetzee 2002:38).

When conducting organisational self-assessment training, units in the SANDF will also have to verify whether they adhere or conform to the specifications prescribed for SAQA accreditation.

1.2.3   A Training Evaluation Approach

A study released by the American Society for Training and Development (ASTD) in 1996, identified the need to measure performance improvement related to training, as a key issue for the new millennium (Parry 1997:1).

Coetzee (2002:170) defines education and training evaluation as the process of making judgements about the success and failure of learning processes, materials and

programmes, policies and systems. The term evaluation therefore refers to the process of appraising or making judgements about the quality and effectiveness of the total process and practices. This is achieved by two basic types of evaluation namely process evaluation and outcome evaluation (ibid. 2002 170-171). Process evaluation focuses on what occurred during the development and implementation of training and forms the basis for the next implementation of the learning programme. Outcome evaluation focuses on learning outcomes and determines whether organisational objectives were achieved and whether the learners achieved the learning outcomes specified for the programme. Outcomes evaluation also measures the effectiveness of the training or learning facilitation, which is a reflection on the competence of the trainer.

Erasmus and Van Dyk (2003:246) state that the evaluation process in training focuses on two aspects: the effectiveness of training, which determines whether the correct type of training has been presented, and the efficiency of training, which determines whether the correct methods and techniques were used to impart the course content to students. They continue (2003: 248) by quoting Fischer et al. that evaluation offers three general purposes namely, proving, improving and learning. Proving wants to demonstrate conclusively that something has happened as a result of training or development activities. Improving implies an emphasis on trying to ensure that either current or future programmes and activities become better that they are at present while learning recognises that evaluation cannot be divorced from the process on which it is concentrating and is an integral part of learning and the development process itself.

Coetzee (2002:170) lists some benefits of training evaluation and mentions that evaluation will help ETD providers to:

- plan modifications to the content of their learning programmes;
- justify their programme to others (e.g. training managers, line managers, administrators);
- gain information that can be used to help recruit learners to future programmes;
- give their learners an opportunity to express their views about the programme;
- enhance their learners' sense of involvement in the learning process;
- see how they can improve on their own performance in the training room;
- see how they are meeting the overall aims of all stakeholders.

Nadler (1988:13) includes evaluation and feedback in each event of his Critical Events Model and believes that this contributes to better learning programme design while Van Dyk, Nel, Loedolff, and Haasbroek (2002:227) also mention that evaluation is not done only at the end of a course and is directed towards specific learning objectives and learning outcomes.

Simmonds (2003:174-175) believes evaluation should be perceived as a reflection of the people, systems and process in which it takes place. Consequently, it is constantly moving, dynamic and organic. He continues by stating that evaluation must be undertaken, before, during and after the learning by the learner, trainer and the manager. For evaluation to be effective it must be seen to be part of a continuous cycle of improvement, which includes training as well as every other function in the organisation. Wolfson (2002:240) adds that evaluation has an important role to play in helping ETD to be able to meet the organisation's strategic needs.

When investigating or addressing possible tools or models for training evaluation one realises that scholars have spent a lot of time and effort on this topic. Giordano (2003.:4) mentions that although the literature is replete with models for instructional design, there are few major distinctions among them. Many models, and consequently, their program evaluation components, are merely restatements of earlier models. There are, therefore, surprisingly few accepted models for evaluation of Education and Training Programmes that are commonly used. When addressing general approaches to educational evaluation Eseryel (2002:2) mentions that goal-based or systems-based approaches are predominantly used in evaluation of training. Various frameworks for evaluation of training programmes have been proposed under the influence of these two approaches.

- **Goal-based approaches**

   The most influential framework has come from Donald L. Kirkpatrick. His model designed in 1959 and still the most widely used model, follows the goal-based evaluation approach and is based on four levels that are known as reaction, learning, behaviour, and results (Michalak & Yager 1979:137-141; Rothwell and Kazanas 1994:87-100; Kirkpatrick 1996:21-26). Kirkpatrick's work generated a great deal of subsequent work including Hamblin, (Hamblin 1974; Watson

1986:271; Osborne 1996:60; Wolfson 2002:248), Deming (Wolfson 2002:249), Laird (Laird 1985:267-279; Wolfson 2002:249), Holton (RAU 2003: 22), and Philips (Phillips 1997:25-39; Meyer, Opperman and Dyrbye 2003:3).

Goal-based models (such as Kirkpatrick's four levels) may help practitioners think about the purposes of evaluation but they do not define the steps necessary to achieve purposes and do not address the ways to utilise results to improve training. Many organisations do not use the entire model, and training ends up being evaluated only at the reaction, or at best, at the learning level (Eseryel 2002:3).

- **Systems-based approaches**

  Eseryel (2002:2) lists the most influential models under the systems-based approaches as: Nadler's Critical Events Model (1982), Worthen and Sanders's Context, Input, Process, Product (CIPP) Model (1987), the Input, Process, Output, Outcome (IPO) Model of Bushell (1990) and Fitz-Enz's Training Validation System (TVS) approach in 1994. Other system-based models that are also used are the Open System Evaluation Model (Osborne 1996:57) and Warr, Bird and Rackham's Context Input Reaction and Outcome (CIRO) Model. (Osborne 1996:60; Philips 1997:40).

  Systems-based models are more useful in terms of thinking about the overall context and situation but few of these models provide detailed descriptions of the processes involved in each steps. Eseryel (2002:4) states that none provide tools for evaluation. Furthermore, these models do not address the collaborative process of evaluation, that is, the different roles and responsibilities that people may play during an evaluation process.

Selecting a relevant model for training evaluation in the SANDF will depend on the approach and relevance to the goals of the learning programmes in the SANDF. The model selected should also address the aspects that are important ETD criteria in the DOD such as the transfer of training to the workplace, return on taxpayers' investment, intended outcomes, available learning materials or programmes, learnerships and learner assessment programmes used.

1.3   DEMARCATION AND PROBLEM STATEMENT

1.3.1   Demarcation

Internationally and nationally, Quality Management and ETD Evaluation in general and organisational self-assessment in particular are well-researched topics. The research problem for this research project, however, addresses and focuses exclusively on investigating the conducting of organisational self-assessment by training providers within the DOD. Although the study was only limited to the DOD environment, recommendations have wider applications.

1.3.2 Problem Statement

1.3.2.1   <u>The Main Problem</u>

Based on what is said above, several research problems can be identified related to the application of organisational self-assessment as tool for quality assurance in the ETD sector and particularly the ETD sector within a military context. The following main problem was identified:

What is the appropriateness and significance of using organisational self-assessment as component of a Continuous Performance Improvement Strategy and Quality Assurance of Education, Training and Development within the South African Department of Defence?

1.3.2.2   <u>Identifying Sub-problems</u>

From this main problem the sub-problems were deduced. The following sub-problems were particularly relevant to the empirical part of the study:

- **Sub-problem 1**

  How appropriate and useful is a TQM approach with concepts, values, methodologies and tools that originated within the private sector, when conducting organisational self-assessment in supporting continuous performance improvement in ETD units in the SANDF?

- **Sub-problem 2**

  What are the significance and impact of quality and excellence models as frameworks for self-assessment and continuous performance improvement?

- **Sub-problem 3**

  Does the currently available South African Excellence Foundation organisational self-assessment questionnaire, originally developed for and used by manufacturing companies, provide the evidence to evaluate the levels of performance accurately at training units of the SANDF?

- **Sub-problem 4**

  How could one optimally ensure the reliability of results of an organisational self-assessment by ETD providers as part of a Continuous Performance Improvement Strategy of the DOD?
  This sub-problem also initiated the following questions:

  - Sub-problem 4.1. Can a self-assessment questionnaire that is customised to address the needs and culture of ETD units in the SANDF, enhance the quality of the responses?
  - Sub-problem 4.2. What will the significance of using a workshop as method of organisational self-assessment be?

- **Sub-problem 5**

  To what extent should organisational self-assessment support a strategy of continuous performance improvement?
  This sub-problem also included the following questions:

  o Sub-problem 5.1. To what extent could oganisational self-assessment accurately identify required end states and address the ways and means to improve performance continuously?
  o Sub-problem 5.2. Can organisational self-assessment assist in tracking improvement or progress over time?

- **Sub-problem 6**:

  Can organisational self-assessment provide additional benefits to ETD providers in the South African DOD? This research sub-problem included:

  o Sub-problem 6.1. To what extent can organisational self-assessment help to empower the workforce?
  o Sub-problem 6.2. Could organisational self-assessment increase commitment and passion for continuous performance improvement?
  o Sub-problem 6.3. To what extent can organisational self-assessment promote organisational learning by enhancing the members' understanding of the key basic concepts and criteria of the South African Excellence Model?

1.4   AIM AND OBJECTIVES OF THE RESEARCH

1.4.1 The Aim

The aim of this research was to analyse the impact of organisational self-assessment by ETD providers in the South African DOD in order to provide recommendations that would enhance a strategy of Continuous Performance Improvement within the Department.

1.4.2   Objectives

The following objectives were identified for this study:

- To theoretically explore Quality Management approaches, Quality Assurance and Organisational Self-Assessment as part of quality management systems.
- To identify and compare the role of internationally accepted quality models as frameworks for organisational self-assessment.
- To determine the unique role and function of ETD providers within the military context in order to determine the requirements to which organisational self-assessment must adhere.
- To observe and report on a case study of an ETD provider within the DOD that conducted organisational self-assessment as part of its Continuous Performance Improvement Programme.
- To provide a new scientific approach to organisational self-assessment to ETD providers within the Department.
- To provide recommendations for the implementation of Self-Assessment methods that would enhance the impact of organisational self-assessment as a part of a Continuous Performance Improvement Programme in an ETD environment.

1.5   MOTIVATION FOR RESEARCH

Kenyon as chairman of the Quality Assurance Agency for Higher Education in the United Kingdom wrote that it is critically important that all those involved in managing their institutions should understand and act upon the full implications of the responsibility they carry for their own quality assurance systems and for maintaining the standards of their own academic awards (2002:2). Berry (2002:213) also adds that an important element of a quality system model is the regular self-assessment of the organisational system as a whole or key element of the organisational system.

Brown (2000:331) believes that only those who design and deliver programmes and assess and examine students are in a position, through quality control, to assure the quality of what they do, and no one else can do it for them. He continues by stating that one could make "full and effective use of existing internal processes" so as to reduce the

perceived "burden" of external scrutiny. It is incorrect, misleading and dangerous to suppose that only external evaluation can provide the necessary reassurance to external stakeholders.

Powell (2000:37) states that in the United Kingdom in all phases of education very different models of self-assessment are being introduced. She found that teachers (in the UK) using self-assessment are compelled to redefine their professional roles. Self-assessment can offer a structure, and a language for understanding the critical process of continuing professional development. Self-assessment is also increasingly being employed across different occupational sectors and it is increasingly seen as a powerful tool for organisational learning. Self-assessment is an attempt to measure improvement, progress and potential (Powell 2000:38).

The South African Excellence Foundation mentions that the self-assessment process allows an organisation to clearly identify its strengths and areas in which improvements can be made. It culminates in planned improvement actions, which are monitored for progress (SAEF 2001a:9). Self-assessment should comprise a positioning against a framework and focus on strengths and areas of improvement. It is both historical and forward looking and aims to motivate those who are involved (SAEF 2001b:2-4).

The purpose of self-assessment by training units within the DOD is therefore to build the organisation's capacity through its own internal scrutiny. The self-assessment process could become an integral part of the department's development and planning strategy. Most training units should benefit from DOD unique designed techniques to assist them with self-assessment and provide them with a framework for quality reviews.

As the focus and techniques of self-assessment must shift from only awareness to complete implementation, an exploration of the significance of the introduction of formalised self-assessment, in the DOD context, is timely.

1.6   RESEARCH DESIGN AND METHODS

The design of this research project addressed an approach that was non-experimental and descriptive in nature and where a current phenomenon, self-assessment of performance as integral part of quality assurance and continuous performance

improvement of the ETD system within the DOD, was observed and analysed in order to address the research problem. The feasibility of the research was assured by focusing on the ETD quality assurors and ETD practitioners in the DOD. From this demarcated population a representative training unit was selected as a case study.

The research commenced by utilising a literature study as data collection method to determine the need and focus of the problem. This preliminary literature study was conducted in order to determine relevant theories and arguments surrounding the stated topic.

During the empirical stage of the study the researcher used the following methods to gather and capture relevant data:

- Interviews. Structured interviews regarding the research problem were conducted with senior ETD Quality Assurors within the DOD, as well as the Officers Commanding and senior ETD practitioners at selected DOD Training Units.

- Questionnaires. An existing generic questionnaire and a customised questionnaire were used as part of an organisational self-assessment within a selected case study. A final survey was also conducted to conclude the case study in order to determine the unit members' perceptions of the value of organisational self-assessment as part of a continuous performance improvement programme in the case.

- A Workshop. The researcher facilitated a workshop by selected senior members within the case study. Individual responses as well as consensus ratings after group discussions were recorded.

- Observation. The researcher was a participant observer of a case study of the self-assessment and implementation of a Continuous Performance Improvement Programme at the SANDF College of Educational Technology (COLET).

The data collection was supported by an intensive literature study of military as well as non-military literature to assist in determining the answers to the research problem and sub-problems.

The researcher's own experience, as senior military instructor, facilitator and Military University Researcher, supplemented the literature study. Informal discussions with colleagues, ETD researchers, ETD practitioners, instructors, ETD technologists, presenters at military as well as non-military symposia and academics, also enhanced, supported and verified the researcher's opinions.

The study concluded by recommending a self-assessment framework, approaches and methods for implementation in training units in the DOD. Although the recommendations are focused at training units, they have wider implementation possibilities for the DOD as well as for other training providers in South Africa.

1.7   KEY CONCEPTS

1.7.1 Education Training and Development

In its Preliminary Report in 1994, the National Training Board stated its vision as being a human resource development system in which there is an integrated approach to education and training which meets the economic and social needs of the country and the development needs of the individual (NTB 1994:6). This integrated approach was also followed in defining the field of ETD (NTB 1994:124) in order to depict the notion of integration while at the same time recognising the differences that exist.

Erasmus and Van Dyk (2003:2) define the concept of education as the activities directed at providing the knowledge, skills, moral values and understanding required in the ordinary course of life. Education therefore encompasses a wide range of activities rather than equipping an individual with specific skills for a limited field of activity. The aim of education is to create circumstances and opportunities for young people and adults to develop an understanding of the traditions and ideas of society in which they live.

Meyer and Mokoele (2002:14) state that, although there is a direct relationship between education and training, the latter is narrower in its focus. Training entails the transfer of

specific skills to an employee so that he or she can perform a specific job or task. Training is therefore more task-orientated in the sense that it is concerned with skills acquisition and work performance. Training is conducted when a particular training need has been identified such as a gap in performance or the introduction of new technology, which requires new skills. These authors (Meyer & Mokoele 2002:14-15) continue by demonstrating that development occurs when ongoing learning opportunities are created so that employees can improve and maintain high levels of performance. This is done by development interventions such as mentorship programmes, career development and ongoing seminars in which employees have the opportunity to keep abreast of changes and trends in the business environment or particular field.

Steyn (2002:4) summarises the close relationship between the concepts: Education, training and development as follows. Education is a change in knowledge; training is a change in skills and development is a change in attitudes or values. Basson (2002:5) focuses on the change of behaviour and states that training is a more mechanic process characterised by learning specific behaviour while education is a more organic process in which a variety of behaviour patterns are learned and developed. Gravett (2001:ix) states that it is unfortunate that education is sometimes seen as focusing on the development of the mind and of theoretical understanding, while training is viewed as the systematic development of skill patterns required by an individual to reach a particular level of competency or operative efficiency to perform adequately a specific, often vocational task. She believes that good training needs to include some conceptual knowledge underlying competencies, and education is more meaningful when contextualised in some form of practice.

Tight (1996:18) distinguishes education from training by stating that education is a broader and deeper learning activity and has to do with more general levels of understanding. Training is more likely to be involved with the development of narrower skills. More generally, it is commonplace to see the roles of adult educators and trainers as being primarily concerned with the development of learners: as individuals, within groups or organisations, and within society as a whole (Tight 1996:29).

The Department of Defence Instruction "*Overarching Policy Framework for Education Training and Development (ETD) in the Department of Defence*" (DOD 2003) regulates training in the SANDF. In alignment with government policies and in particular the South

African Qualifications Authority Act (South Africa 1995) all training related activities in the SANDF are therefore described as ETD. The concept of ETD is therefore used in this study to depict all training activities within the SANDF.

1.7.2   A Continuous Performance Improvement Strategy

Nickols (2000:1) states that strategy is a term that comes from the Greek *stratēgia*, meaning "generalship." In this military context strategy refers to maneuvering troops into position before the enemy is actually engaged. In this same context the Concise Oxford English Dictionary (Pearsall 2002:1418) describes strategy as the art of planning and directing military activity in a war or battle and the Military Dictionary SA Defence Force (DOD n.d.:349) elaborates by describing strategy as the art and science of developing and using political, economic, psychological and military forces during peace and war, to afford maximum support to policies in order to increase the probability of victory and to decrease the possibility of defeat.

The concept of strategy has, however, also been transferred to the business world. Nickols (2000:1) believes that the employment of troops is central in a military strategy and by substituting "business resources" for troops will demonstrate the transfer of the concept to the business world. A more generic way of describing the word strategy is therefore also found in the Concise Oxford English Dictionary (Pearsall 2002:1418) as a plan designed to achieve a particular long-term aim.

Kenneth Andrews (1980:18), for many years editor of the *Harvard Business Review,* presents the following lengthy definition of strategy:

> Corporate strategy is the pattern of decisions in a company that determines and reveals its objectives, purposes, or goals, produces the principal policies and plans for achieving those goals, and defines the range of business the company is to pursue, the kind of economic and human organization it is or intends to be, and the nature of the economic and non-economic contribution it intends to make to its shareholders, employees, customers, and communities.

Petrick and Furr (1995:60) state that a generic definition of strategy is the intended, emergent and realised pattern of decision process and actions employed to provide future

organisational direction and achieve an organisation's mission, objectives and vision. This will mean that effective strategy requires planning (environmental scan and strategy formulation) and managing (implementation, evaluation and control).

Quinn (2003:10) defines strategy as the pattern or plan that integrates an organisation's major goals, policies, and action sequences into a cohesive whole. He continues by stating that a well-formulated strategy helps to marshal and allocate an organisation's resources into a unique and viable posture based on its relative internal competencies and shortcomings, anticipated changes in the environment and contingent moves by intelligent opponents.

Porter (1996:64) argues that competitive strategy is "about being different." He adds that it means deliberately choosing a different set of activities to deliver a unique mix of value. Porter believes that strategy is about gaining competitive position by differentiating yourself in the perception of the customer and adding value through a mix of activities different from those used by competitors.

Lindsay and Petrick (1997:112) state that when using the traditional model, strategies are defined as comprehensive master plans that state how an organisation will achieve its mission and objectives. They may be divided into grand and generic strategies. Grand strategies refer to an organisation's coordinated macro efforts to achieve long-term success, whereas generic strategies refer to an organisation's micro efforts to attain competitive success. Grand strategies may include approaches such as diversification, forward and backward integration, innovation, and joint ventures.

Mintzberg (2005:26-27) articulates that strategy is defined in five different ways:

- **Strategy is a plan**
  To most people strategy is a *plan*. A course of action is developed to deal with a situation. By this definition, strategies have two essential characteristics: they are developed *consciously and purposefully.*
- **Strategy is a ploy**
  As plan, a strategy can also be a *ploy* or a specific 'maneuver' intended to outwit an opponent or competitor. A corporation may threaten to expand plant capacity to discourage a competitor from building a new plant.

- **Strategy is a pattern**

  If strategies can be intended (whether as general plans or specific ploys), they can also be realised. Here the definition also encompasses the resulting behavior or *pattern* in a stream of actions. When a pattern realised was not intended, it could be called an 'emergent' strategy.

- **Strategy is a position**

  Strategy is also a *position,* specifically, a means of locating an organisation in its 'environment' and where position is usefully identified with respect to competitors.

- **Strategy is a perspective**

  While position looks out, seeking to locate the organisation in the external environment, *perspective* looks inside the organisation. Here, strategy becomes the ingrained way of perceiving the world.

Mintzberg (2005:27-28) continues by indicating that each of these definitions adds important elements to the understanding of strategy, indeed encourages one to address fundamental questions about organisations in general. As plan, strategy deals with how leaders try to establish direction for organisations, to set them on predetermined courses of action. As ploys strategy takes us into the realm of direct competition, where threats and feints and other manoeuvres are employed to gain advantage. This places the process of strategy formation in its most dynamic setting, with moves provoking countermoves and so on. As pattern, strategy focuses on action, reminding one that the concept is an empty one if it does not take behaviour into account. As position, strategy encourages one to look at organisations in context, specifically in their competitive environments - how they decide on their products and markets and protect them in order to meet competition, avoid it, or subvert it. Finally as perspective, strategy raises intriguing questions about intention and behaviour in a collective context.

Nickols (2000) demonstrates that Mintzberg argues that strategy emerges over time as intentions collide with and accommodate a changing reality. Thus, one might start with a perspective and conclude that it calls for a certain position, which is to be achieved by way of a carefully crafted plan, with the eventual outcome and strategy reflected in a pattern evident in decisions and actions over time. This pattern in decisions and actions defines what Mintzberg called 'realised' or emergent strategy.

An analysis of all these definitions confirms the appropriateness of the short definition in the Concise Oxford English Dictionary (Pearsall 2002:1418) that strategy is a plan designed to achieve a particular long-term aim. All the quoted definitions only elaborate or describe additional aspects. Andrews (1980) mentions the kind of business and contributions to stakeholders, Petrick and Furr (1995) that it provides organisational direction, Quinn (2003) the allocation of resources, Porter (1996) that it distinguishes differences, Lindsay and Petrick (1997) the types of strategies and Mintzberg (2005) that strategy emerges over time in a changing reality.

Segal-Horn (2004:7) points out that probably the most significant element within the development of strategic management thought is the predominance of the concept of strategy dynamics. To deal with the accelerated rates of evolutionary change in their industry managers must be able to cope with balancing the conflicting requirements of strategy formulation for the longer term, combined with the immediate short-term pressure search for dynamic theories of competition. When discussing deliberate and emergent strategies, Mintzberg and Waters (2004:17) add that since strategies have almost inevitably been conceived in terms of what the leaders of an organisation plan to do in the future, strategy formation has tented to be treated as an analytical process for establishing long-range tools and action plans. This long-term approach implied a formulation followed by implementation of a strategy. A wider perspective however considers the variety of ways in which strategies could actually take shape. Comparing intended strategies with realised strategies, has allowed them to distinguish deliberate strategies (realised as intended) from emergent strategies (patterns or consistencies realized despite or in the absence of intentions). These authors (ibid 2004:27) add that in their view the fundamental difference between deliberate and emergent strategies is that whereas the former focus on direction and control or getting the desired things done, the latter open up this notion of strategic learning. Mintzberg and Lampel (2003:24) mention that a model of strategy making as learning developed from this idea about emergent strategy. In this view, strategies are emergent, strategists can be found throughout the organisation, and so-called formulation and implementation intertwine.

In a changing and evolving society, strategies could therefore not purely be formulated and implemented to achieve long-term aims but a 'realised' strategy could emerge from the pattern of actions and decisions. This will imply that strategy is an adaptive, evolving view of what is required to obtain the ends in view. Continuous reflection, review and

improvement are therefore required to maintain a competitive advantage. Bigler and Norris (2004:63) state that it is a professional imperative for business leaders to pursue initiative management with a requirement for continuous growth, innovation and improvement.

Lindsay and Petrick (1997:88) state that continuous improvement is the propensity of the organisation to pursue incremental and innovative improvements of its processes, products and services. They (1997:154-155) continue by adding that continuous improvement is the outcome of the continuation of sound design development and effective implementation and list three types of continuous improvement:

- Kaizen or incrementally improving procedures to increase efficiency.
- Competitive parity to reach the "best in class" status and match the existing market leaders.
- Breakthrough dominance to outdistancing competitors.

These authors (1997:158-159) also list continuous improvement as one of five steps that could be distinguished to achieve a competitive advantage while Svensson (2004:25) states that continuous improvement is one of the six cornerstones of a total quality management approach. This continuous improvement will lead to a new employee mindset and a strategic cultural change. Terziovski (2002:11) believes that managers need to intuitively balance the breakthrough innovation strategy with the continuous incremental improvement strategy.

For this researcher the term continuous performance improvement strategy within ETD of the DOD, therefore is the dynamic, intended, emergent and realised pattern of decisions, processes and actions to stimulate incremental and innovative performance change in order to sustain a competitive advantage in an ever evolving ETD environment.

1.7.3   Organisational Self-assessment

In a rapidly changing and competitive world, Nilsson and Samuelsson (2000:9) believe that organisations that manage to improve continuously will be more flexible and competitive than the ones who got stuck in the past. According to Zink and Schmidt (1998:153), traditional controlling methods are strictly orientated to the past and self-

assessment concepts must rather try to concentrate on vital factors for surviving in future competition.

In order to plan for the future organisations must therefore create a picture of their strengths and areas where improvements can be made. This could be done by a process of a carefully performed self-assessment that involves a thorough, organisation-wide evaluation of current operations and management policies, practices and procedures, that will give management the possibility to base decisions on facts instead of perceptions.

When defining self-assessment, Powell (2000:42) states that self-assessment as opposed to being controlled and audited by external parties is a form of internal evaluation by members within an organisation. Self-assessment involves members from all levels in the organisation in a regular and systematic review of their processes and results achieved. It is a starting point for a structured approach to continuous improvement, in which the self-assessment process encourages employees to become personally involved in improvement activities.

In line with most other views, the South African Excellence Foundation (SAEF 2001a:9) defines self-assessment as a comprehensive, systematic and regular review of an organisation's activities and results referenced against a model of performance excellence. The self-assessment process allows an organisation to clearly identify its strengths and areas in which improvements can be made. It culminates in planned improvement actions, which are monitored for progress. Self-assessment (SAEF 2001b:2-4) also comprises a positioning against a framework and focuses on strengths and areas of improvement. It is both historical and forward looking and aims to motivate those who are involved.

The definitions of self-assessment of performance therefore concentrate on the facts that self-assessment must be regularly planned and comprehensive. It must involve the whole organisation and assess a broad spectrum of criteria or activities against a selected model and allow an organisation to clearly identify its strengths and areas in which improvements can be made, while culminating in planned improvement actions.

Although the goals and objectives for conducting a performance self-assessment may differ from one organisation to another, it must serve as a starting point for a structured

approach to continuous improvement, encourage employees to become personally involved in improvement activities (Powell 2000:42), and increase quality awareness in all aspects of the business (Van der Wiele, Brown, Millen and Whelan 2000:15).

The prerequisites for successful self-assessment include that an organisation must already have a fundamentally sound corporate culture (APWA 2005), will involve considerable training (Van der Wiele et al. 2000:11) and need immense personal commitment and hard work (Jackson 1999:62).

Even educational institutions and schools that traditionally relied on external inspection as the main driving force in terms of the evaluation of school and pupil performance, are today taking part in a growing drive for internal self-evaluation, arising from the desire of schools and teachers to assess their own performances. Rudd and Davies (2000) view external inspection and self-evaluation at schools as complementary activities.

Although training units within the SANDF are subject to external audit and verification by the relevant structures of the NQF, if accredited training is to be provided, these verifications do not address all the activities within a TQM approach (see section 2.2.2). In order to implement a continuous performance improvement strategy in training units of the SANDF, these units need to carefully perform self-assessment that would involve a thorough, organisation-wide assessment of current management and operations policies, practices and procedures. Only after establishing their strengths and areas where improvements should be made, training units will be able to determine a starting point for a structured approach to continuous improvement.

1.8   CHAPTER DEMARCATION

In order to investigate the role and function of organisational self-assessment as element of a TQM strategy and as a component of an organisation's Continuous Performance Improvement Programme, Chapter 2 will briefly describe the concept Quality and the terms TQM and quality assurance, and then continue by discussing self-assessment practices that could be implemented to improve organisational performance.

Chapter 3 deals with three major international Quality Awards, their frameworks and internationally accepted fundamental concepts and assessment criteria, in order to

establish the base, concepts and criteria that are used in the South African Excellence Model when assessing organisational excellence or performances.

In Chapter 4 the reader is given an overview of the military environment within which this research was conducted. This chapter provides the context in which self-assessment as component of a Continuous Performance Improvement Strategy and quality assurance of ETD, was investigated.

Chapter 5 contains the empirical part of this study. After examining the use of a case study as research strategy, the case selected for this study is discussed and interpreted.

In Chapter 6 a summary is given of the previous chapters, conclusions are drawn and recommendations made concerning the application of organisational self-assessment. Future research is also suggested.

1.9   CONCLUSION

In South Africa, an integrated approach to national workplace education and training is supported by both legislative as well as policy frameworks that promote the transformation of learning. The Skills Development Act (South Africa 1998) and the SAQA Act (South Africa 1995) are examples of this new integrated approach. ETD therefore forms part of the broader national strategy for nation-building and HRD and must provide short and medium term interventions in order to ensure that the long-term national goals are achieved.

Internationally and nationally, Quality Management Systems, ETD Quality Assurance in general and self-assessment in particular are well-researched topics.   An important element of a quality system model is the regular self-assessment of the organisational system as a whole or a key element like ETD within an organisational system. It is therefore critically important that all those involved in managing ETD institutions should understand their responsibility for implementing their own quality assurance systems and for maintaining the standards of their own academic processes.

Those who design and present programmes and assess and examine learners are in the best position to assure the quality through quality control. Effective use of existing

internal processes for evaluation will also reduce the perceived problems of external scrutiny. Therefore education and training institutions all over the world are exploring and implementing different new models of self-assessment. These self-assessments are compelling trainers to redefine their professional roles and offer a structure for understanding the critical process of continuing professional development. Self-assessment also culminates in planned improvement actions, which are monitored for progress.

Self-assessment by Training Units within the DOD could therefore also build the organisation's capacity through its own internal scrutiny and the self-assessment process should become an integral part of the department's development and planning strategy.

As the focus and techniques of self-assessment shift from only awareness to complete implementation, training units within the DOD would benefit from uniquely designed techniques that would assist them with self-assessment and provide them with a framework for quality reviews.

Although this research project addresses and only focuses on investigating the impact of self-assessment on assuring quality and the implementation of performance improvement strategies for ETD providers in the SANDF, recommendations for wider applications are provided.

CHAPTER 2

27

QUALITY ASSURANCE AND SELF-ASSESSMENT FOR CONTINUOUS PERFORMANCE IMPROVEMENT

2.1   INTRODUCTION

Companies increasingly have to face competition and accept that more choices are available to clients who, in their search for value for money, are assiduous in seeking goods and services with better quality and at a more competitive price (Bounds, Yorks, Adams & Ranney 1994:5). In this researcher's view the statement is still relevant today. Increased global competition and improved communications have lead to greater customer expectation (Watson 2002:2). In a global society with its increased international competition, quality has become the key to having a competitive edge. Quality is no longer confined to the quality of a product or a service. It applies to delivery, administration, customer service, and all other aspects of company activities. Quality encompasses all the ways in which a company meets the needs and expectations of its financial stakeholders, its customers, and the community in which it operates (Tan 2002:165)

Lawler (1995:52) describes the significance of global competition in the business environment of the 1990s when stating:

> Many businesses have become global and as a result, success requires much higher levels of performance in three areas: the quality of goods and services produced, the cost at which they are produced, and the speed with which the producers innovate and get new products and services to the market.

Rapidly advancing technological developments have also greatly influenced competition for a market share (Bounds et al. 1994:5). Pfeffer (1994) already identified product and process technology as traditional bases of competitive success. Technology, especially information technology, has in many cases led to businesses gaining a competitive

advantage by making changes to their systems for managing performance, their manufacturing process or the service delivery processes.

Williams (2002:7-8) adds that government policies also impact on organisations in search of new markets. Especially in the public sector, legislative changes have already affected service provision and will continue to do so.

The factors mentioned above have influenced management theories and movements. Performance management has seen the introduction of the *search for excellence movement* and the *concern for quality*. These approaches have reshaped the way in which we think about performance because of the changes to manufacturing and service delivery processes that have resulted (Williams 2002:5).

The focus on excellence and quality promotes and supposedly ensures continuous organisational performance improvement. Globally, quality or the search for excellence has emerged as an important issue, and organisations have searched for excellence models for institutional self-assessment approaches to remain competitive in this changing global market.

Research sub-problem 1 (see section 1.3.2.2) questions how appropriate and useful is a TQM approach with its concepts, values, methodologies and tools that originated within the private sector, when conducting organisational self-assessment in supporting continuous performance improvement in ETD units in the SANDF. In order to address the issues mentioned in this sub-problem, this chapter will briefly describe the concept quality and the terms TQM and quality assurance, and then continue by discussing self-assessment practices that could be implemented to improve organisational performance. Finally, the role of group decision-making in the assessment of performance will be investigated to illustrate some possible threats, such as groupthink or the dominance by authoritative figures, to using consensus as the accepted norm for quality decision-making. This chapter aims to investigate the role and function of organisational self-assessment as element of a TQM approach and as a component of an organisation's continuous performance improvement strategy.

2.2 TERMINOLOGY

2.2.1 An Exposition of Quality

2.2.1.1 Preface

The concept *quality* is value-laden and usually subjectively associated with that which is good and worthwhile (Tight 1996:125). In the introduction to this chapter it was stated that this concept has become a central feature of organisational performance in recent years and the focus on and management of quality have become widespread in organisations in both the private and public sector.

2.2.1.2 Definitions

Many definitions of quality, from different approaches or views, could be quoted and most of these definitions are based on the continuous conformation to customers' or clients' expectations of the product or services (Cascio 1995:18).

Oakland (2003:4) believes that quality is simply meeting the customer requirements, and he summarises the views of experts by listing the following:

- Juran called quality "Fitness for purpose or use".
- Deming said, "Quality should be aimed at the needs of the consumer, present and future".
- Feigenbaum believed that quality is, "The total composite product and service characteristics of marketing, engineering, manufacture and maintenance through which the product and service in use will meet the expectation by the customer".
- For Crosby quality was "Conformance to requirements"

Gatfield, Barker and Graham (1999:239) state that there are two main schools of thought in determining quality, which comprise the supply-side (managerialist approach), and the demand-side (consumer approach).

Cronje, Du Toit and Motlatla (2000:386) believe that managers define quality in terms of what they believe clients expect of a particular service, while clients see quality in terms of their own perception of the service. Organisations should therefore endeavour to eliminate the gap between what they expect and what the clients perceive as quality. They should attempt to produce services that conform to what they promise to deliver. Crosby (1988:219) says that the client must believe that the provider is sincere in its actions and reliable, trustworthy and credible in delivering the requested service.

The nature of the concept of quality, however, remains open to several interpretations. When addressing the alternatives and implications in defining q*uality*, Reeves and Bednar (1994:437) identify the following four main types of definition, each of which has its own strengths and weaknesses.

- <u>Quality defined as Excellence</u>. This view has strong marketing and human resource benefits and is universally recognisable as an indicator of uncompromising standards and high achievement. It however provides little practical guidance to practitioners, is difficult to measure and the attributes of excellence may change dramatically and rapidly.

- <u>Quality defined as Value</u>. If quality is defined as value, multiple attributes of a product or service like excellence, price and durability, are included and organisations are forced to consider both their internal cost implications to conform to specifications as well as how the external expectations of the clients are met. Different price/quality bundles like a dinner at a five-star restaurant or a hamburger at the local café will be perceived in the marketplace. Although it allows for comparisons across a wide field of products and services, it is difficult to determine the components of an individual's subjective value judgement. Individuals will use different components as well as assign different weights to each component, when making their value judgments. For these reasons it is clear that quality and value should be seen as different constructs.

- <u>Quality defined as Conformance to specifications</u>. This view emphasises precise measurement and leads to increased efficiency that is necessary

for a global strategy. It should force disaggregating of consumer needs and is therefore the most appropriate definition for many customers. This approach to quality, however, is often inappropriate for services, internally focused and potentially reduces organisational adaptability as specifications may quickly change in the rapidly changing markets.

- <u>Quality defined as Meeting and/or exceeding expectations</u>. This all-encompassing approach to quality enhances evaluation from the customer's perspective, is applicable across industries and is responsive to market changes. It is however also the most complex definition as it is difficult to measure. As customers may not know their expectations, it could lead to different individual reactions. As pre-purchase attitudes affect subsequent judgments, the short-term and long-term evaluations may differ. It could also lead to confusing customer service and customer satisfaction.

The researcher endorses the view of Reeves and Bednar (1994:423), who maintain that the last of the four definitions is the most prevalent, and still relevant today.

2.2.1.3 <u>Discussion</u>

Many of the definitions of quality include the customer. Indeed, the development of a customer perspective has come about hand in hand with the rise in the importance of quality. Definitions of quality have broadened over time and the application of the term has extended from manufacturing to service, from being concerned narrowly with attributes of the product or service, (the **what** of quality) to include the **how** of quality, and from internally (company) defined attributes to a customer perspective (Williams 2002:55-56).

2.2.1.4 <u>Quality in the South African ETD Environment</u>.

The models for quality in education were adopted from those of successful private companies, thus the mechanisms for ensuring quality in education and training were largely taken, with little adaptation, from the manufacturing industry (Tight 1996:123-124).

The SAQA Act (South Africa 1995) and the National Education Policy Act (South Africa 1996), among others, are explicit about the proposed orientation to quality within the South African education and training context. At the heart of this orientation is the concept of transformation (SAQA 2001a:17). This expression of transformation is consistent with one of the core components of Svensson's TQM model (2004:25). The SAQA orientation to quality is generally holistic and focuses on processes that deepen democracy, flexibility within the system and client/learner-centredness (SAQA 2001a:18). For this reason SAQA has outlined quality indicators such as learner-centredness, relevance, democratic ways of operating, flexibility within the system, increasing access, transparency, accountability, recognition of prior learning and critical learning and teaching styles as SAQA's parameters of quality (SAQA 2001a:19).

2.2.1.5 <u>Conclusion</u>

It is clear that the nature of the concept of quality is open to several interpretations. Most definitions of quality are, however, based on meeting the customer's present and future requirements by continuous conformation to their expectations of the product or service.

Managers define quality in terms of what they believe clients expect of a particular product or service and are therefore concerned with the attributes of the product or service, while clients see quality in terms of their own perceptions that could also include their belief that the provider is sincere in its actions and reliable, trustworthy and credible in delivering the requested product or service. When addressing quality, organisations should therefore endeavour to eliminate the gap between what they internally believe and what the clients externally perceive as quality.

An approach to quality as meeting and even exceeding customer expectations, is applicable across industries, includes products and services and is also responsive to market changes. Managers within the ETD environment and especially the adult education and training environment will therefore have to

determine the needs and expectations of their clients or potential clients, in their quest for improved quality of education and training.

2.2.2   An Exposition of Total Quality Management

2.2.2.1   <u>Preface</u>

McAdam (2000:320) mentions that three different terms are currently being used in the quality management discourse. These terms are:

- <u>Organisational Excellence</u>. The focus on organisational excellence commenced with Peters and Waterman's book "*In search of excellence*" (1982). It was, however, only after the dawn of the quality award era that this term became very prominent within the quality management literature.

- <u>Business Improvement</u>. Some manufacturing organisations have difficulty with the word quality due to quality control connotations and hence prefer to use the term business improvement.

- <u>Total Quality Management</u>. TQM has an established theoretical base on which enabling practice can be based. The strong history associated with quality has led to the development of TQM theory linked to implementation frameworks and tools and techniques.

Foster (2004:35-49) believes that TQM as a term did not develop overnight. The work and theories of many quality experts such as Deming, Juran, Ishikawa, Feigenbaum, Crosby and Taguchi all contributed to the management approach that is today known as TQM. These experts however never personally used the term Total Quality Management or TQM in their literature (Hellsten & Klefsjö 2000:238-239)

Baim and Dimperio (1997) state that the term TQM was initially used in 1985 by the American Naval Air Systems Command to describe its Japanese style management approach to quality improvement. Since then, TQM has taken on

many meanings but simply put, it is a management approach to ensuring long-term success through customer satisfaction.

Basu and Wright (2004:18-19) have identified a hierarchy of quality management that has four levels: quality inspection, quality control, quality assurance and TQM. Quality inspection, quality control and quality assurance are aimed at achieving an agreed consistent level of quality by testing, inspection, rigid conformance to standards and procedures, and finally by efforts to eliminate causes of errors so that the defined accepted level is achieved. TQM is on a different plane. It does, of course, include all the previous levels of setting standards but it also includes a vision of quality that goes far beyond mere conformance to a standard as will be discussed in this section.

2.2.2.2 Definitions

Scholars and institutions present many different definitions of TQM. The following represent the main aspects that are included in most of these definitions:

The Deming Prize Committee (Deming Institute 2005b) defines TQM as a set of systematic activities carried out by the entire organisation to achieve company objectives effectively and efficiently so as to provide products and services with a level of quality that satisfies customers, at the appropriate time and price.

Ivancevich and Matteson (2002:680) define TQM as a philosophy and system of management which, using statistical process control and group problem-solving processes, places the greatest priority on attaining high standards for quality and continuous improvement.

Basu and Wright (2004:184) state that TQM is not a system, it is a philosophy embracing the total culture of an organisation. TQM goes far beyond conformance to a standard, it requires a culture where every member of the organisation believes that not a single day should go by without the organisation in some way improving its efficiency and/or improving customer satisfaction.

2.2.2.3 <u>Discussion</u>

Professor John Oakland is currently regarded as the most prominent expert of TQM in the United Kingdom (Basu & Wright 2004:20). These authors state that Oakland's particular brand of TQM is essentially pragmatic, and comprises a whole systems approach that includes both quantitative and qualitative measures. They mention that Oakland may lean towards qualitative aspects, i.e. the issues of culture, communication and teamwork. Some might refer to these as the 'softer issues', as it is difficult to quantify in 'hard' statistical terms a level of culture or teamwork.

According to Oakland's (2003:30) TQM model (see figure 2.1), the core of TQM is the customer-supplier relationship where the processes must be managed. To these underlying processes should be added certain human or so-called 'soft' management components namely commitment, communication and culture. Within an approach with the right commitment, culture and communication the process core must be surrounded by the 'hard' management components. These management components include systems (based on a good international standard), tools (for analysis, correlations and predictions) and teams (executive committees, quality improvement teams etc.).

Oakland (2003:32-33) summarises his approach to TQM as follows:

- TQM is a comprehensive approach to improving competitiveness, effectiveness and flexibility through planning, organising and understanding each activity, and involving each individual at each level.
- TQM ensures that management adopts a strategic overview of quality and focuses on prevention, not detection, of problems.
- TQM starts at the top, where serious commitment to quality and leadership must be demonstrated. Middle management also has a key role to play in communicating the message.
- Every Chief Executive must accept the responsibility for a quality policy that deals with the organisation of quality, the customer needs, education and training, and review of the management systems for continuous improvement.

- The culture of an organisation is formed by the beliefs, behaviours, norms, dominant values, rules and climate in the organisation.
- Any organisation needs a vision framework, comprising its guiding philosophy, core values and beliefs, purpose and mission.
- The effectiveness of an organisation depends on the extent to which people perform their roles and move towards the common goals and objectives.
- TQM is concerned with moving the focus of control from the outside to the inside of individuals, so that everyone is accountable for his/her own performance.

Figure 2.1 Oakland's Total Quality Management Model
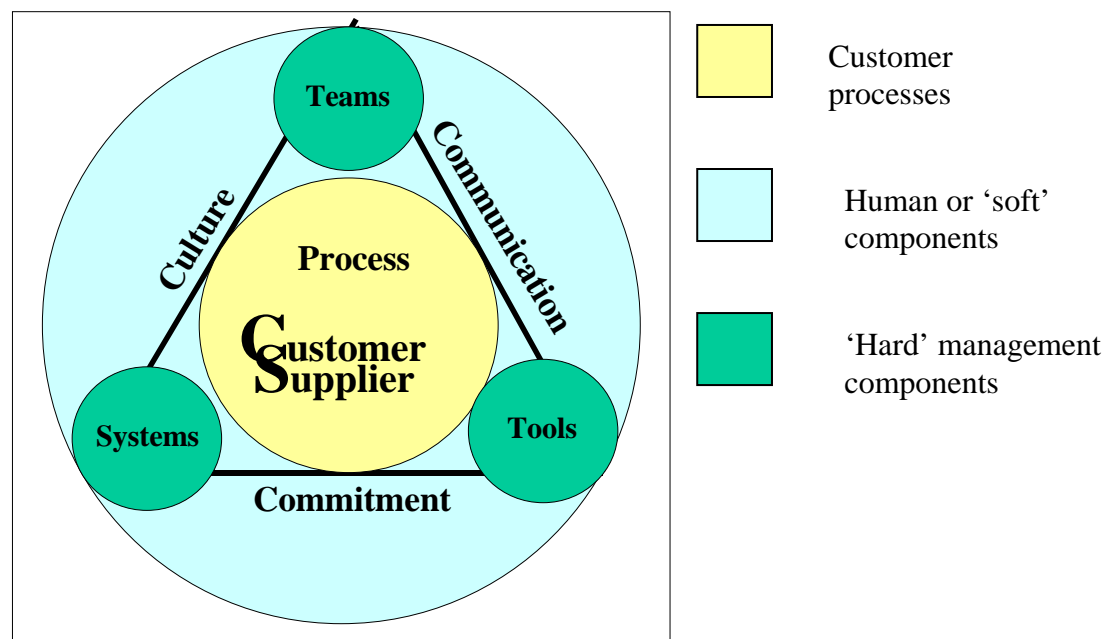
Source: Oakland (2003:31)

Svensson (2004:25) provides another model for TQM (see figure 2.2) that is very relevant for this study. His model can be described as a core-model with different layers, or levels, around the core. The core itself consists of the definition of quality, which is the essence of quality improvements and TQM. The first layer around the core can partially be seen as a new layer and to a certain extent be seen as an element of the core, because its fundamentals, the words

'progressive' and 'improvement', might be considered as the essence of TQM. In the second layer, the following six core values, which are the cornerstones of TQM, have been placed:

- Top management commitment.
- Let everybody be committed.
- Focus on customers.
- Focus on processes.
- Base decisions on facts.
- Improve continuously.

Finally, the third layer is an operational level, where the values and philosophies of TQM are put into practice by using suitable methodologies and tools.

In figure 2.2 the methodology 'self-assessment' and a tool called 'the SAEF Questionnaire' are used in the model as examples. These examples are given because they represent the methodology and a tool that is used in the case study described in Chapter 5 of this study.

Cherkasky (1992:Q4) states that in the TQM approach, continuous improvement comes about by involving everyone in a company, from the boardroom to the mailroom, in a daily search for incremental improvements. This improvement occurs in two phases: a critical sequence of management improvement first, from which product and service improvement follows. Basu and Wright (2004:19) add to this statement that TQM requires a culture whereby every member of the organisation believes that not one day should go by without the organisation in some way improving the quality of its products and services. Generally, the lower-paid members of the organisation interface physically with the customers or providing the service, and it is their attitude and level of helpfulness that will determine the perception of quality by the customer

Figure 2.2 Svensson's Total Quality Management Model

The core: definition of quality

First layer: The base for TQM: progressive quality & development

Second layer: Values in TQM: the six cornerstones

Third layer: The operational level of TQM: methodologies & tools
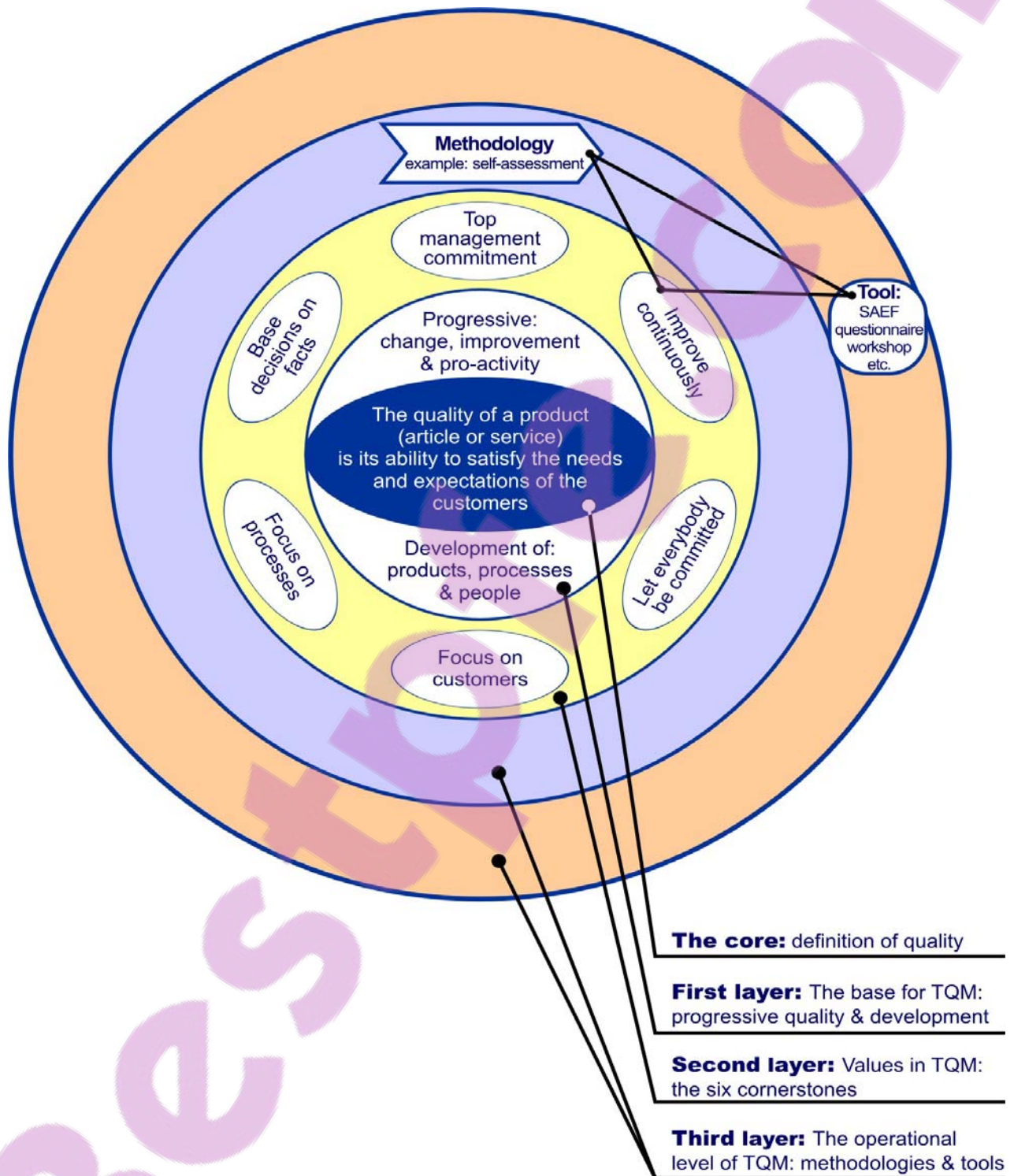
Source: Svensson (2004:25)

2.2.2.4   Total Quality Management in the ETD Environment

Mainly due to the introduction of International Quality Awards (see section 3.3) the TQM approach was gradually adapted to the service industry, which included the ETD sector (e.g. Baldrige 2005h). In order to accommodate communities like the Education and Training sector, while supporting cross-sector cooperation, the adapted criteria for assessing Education and Training are largely translations of the requirements, language and basic concepts of business excellence (NIST 2005). The common framework for all sectors of the economy has resulted in cross-sector cooperation and sharing of best practice information.

2.2.2.5   Conclusion

It is clear that definitions of TQM are diverse. It has been described as an approach, a philosophy, a business strategy, a set of systematic activities, and a structured system. A number of core values, however, seem to be common in most descriptions of TQM namely: customer satisfaction, commitment from management, involvement from employees at all levels, focus on processes, changing organisational culture, fact-based decisions and continuous improvements. In order to implement TQM an organisation should therefore incorporate all these core values into its management approach.

2.2.3   An Exposition of Quality Assurance

2.2.3.1   Preface

According to Crosby's view of quality assurance (1994:1-2), quality awareness originated during and immediately following World War 2. Efforts to improve quality were based on quality control, a statistical approach designed to contain the non-conformances assumed 'inevitable' in any human-conducted process. This meant that management learned to rely on inspection and rework to ensure customer satisfaction. For this reason Crosby developed the concept of 'Zero Defects' in 1961 and believed that quality assurance meant that managers needed to prevent problems by proactively establishing a policy of doing things

right the first time. He continues by saying that in the 1970s, companies began to understand that quality meant conformance to clear requirements and that defects were preventable.

For Tight (1996:125), quality assurance is a term, which embodies tensions within itself. Tension could be identified between the demands of external accountability and the processes of internal improvement and also tension between the idea of a gold standard and of something that is 'merely fit for its purpose'.

2.2.3.2   Definitions

Any definition of quality assurance has to take into account that the activity of assuring quality will manifest as a set of activities designed to evaluate the processes by which products are designed, developed or manufactured. The following definitions and descriptions are presented for the purpose of this study:

Quality assurance is the activity of providing evidence to establish confidence that quality requirements will be met (Gryna 2001:659; Dale & Oakland 1991:3).

When defining quality assurance, Dale (1994:333) quotes the British Standards 135 4778: Part 1(1987) (ISO 8402,1986) that states that quality assurance is:

> …all those planned and systematic actions necessary to provide adequate confidence that a product or service will satisfy the given requirements for quality.

Dale (1994:333) continues by mentioning that quality assurance needs to be an integral part of all the organisation's processes and functions, from the concept of an idea and throughout the life-cycle of the product or service. It is an integrated management system of determining customer needs and requirements, planning and designing, production, delivery and finally an after-sales service.

Foster (2004:23) believes that quality assurance refers to activities associated with guaranteeing the quality of a product or service. Often, these activities are design-related. Quality assurance must be proactive and must detect quality problems before they occur. Given this, the best way to ensure quality is in the design of products, services and processes.

The Blackwell Encyclopaedia of Management, (O'Connel 1997:165-166) describes quality assurance as part of the evolution of TQM. It is more than the after-the-event quality inspection or quality control that provides elementary process performance data and feedback. Quality assurance should find and solve problems before non-conformance has been created. It must direct organisational efforts towards planning and preventing problems occurring at source.

2.2.3.3   <u>Discussion</u>

From these definitions it can be deduced that quality assurance is a proactive program of planned, systematic activities that analyse, monitor and evaluate whether the necessary processes are established and continuously improved in order to provide adequate confidence that standards of quality are met and that the product or service optimally fulfils customers' expectations. These 'planned systematic activities' will include policies, procedures, training, measurement, and analysis.

The key concepts in these definitions are the products and the processes by which the products are produced. These processes impart attributes and characteristics to the products that they assist in creating. This implies that quality assurance and improvement efforts within an organisation will encompass all phases of production as well as all the organisation's functional areas. The emphasis with assuring quality should be more on processes than the products because it is assumed that improved processes will ultimately enhance product quality. An efficient quality assurance system will define, prioritise, quantify and measure the processes and techniques throughout the product's or service's life-cycle to enable early detection and corrective actions of deficiencies that could significantly reduce the impact on cost and time.

If implemented correctly, quality assurance will provide the means by which defects are proactively anticipated and mitigated during development or production. It will also provide the means by which defects can be identified after they arise. Quality assurance will therefore take into account human as well as technological factors.

Although quality assurance models and quality management approaches address various aspects that could enhance quality within organisations, the final question will always be: "Is the client satisfied with your product?" The client must believe that the provider is sincere in its actions, and reliable, trustworthy and credible in delivering the requested service (Crosby 1988:219).

Quality assurance activities must therefore be driven by customers' needs and expectations. If customers' expectations are either identified incorrectly or misinterpreted, the final product will not possess the desired qualities. However, because there are many dimensions to these expectations, it may be difficult to satisfy them all simultaneously. The primary emphasis of the literature is on the translation of the needs and expectations into product design (Ahire, Landeros & Golhar 1995:289).

2.2.3.4 Quality Assurance in the ETD Environment

In South Africa SAQA has the function to oversee the development and implementation of the NQF. Quality assurance in respect of the NQF refers to the monitoring and auditing of learner achievements in terms of specified registered standards and qualifications (Coetzee 2002:14).

The official SAQA policy document "*Quality Management Systems For ETQAs*" (SAQA 2001b:9) defines Quality Management Systems (QMS) as the combination of processes used to ensure that the degree of excellence specified is achieved. The key consideration in the QMS is to secure continual improvement in quality, at present and in the future. This source continues by stating that quality assurance refers to the sum of activities that assure the quality of products and services at the time of production or delivery, and that

quality assurance, quality audit and quality control are all elements of, but not the totality of, a QMS.

In the ETD environment the concept of quality assurance has emerged as a primary instrument for evaluating performance and accountability and as a consequence, governments are becoming increasingly explicit through policy about what they require from ETD providers. Kistan (1999:125) believes that at the policy level, quality assurance is about power and control of standards measured in terms of accountability and at the institutional level they are about student experience and achievement. He continues by stating that the introduction of quality assurance systems and mechanisms into the functioning of institutions by governments (and external agencies) are sometimes perceived as intrusion and interference and a top-down 'policing' (ibid. 1999:131).

Bornman (2004:374) believes that the quality of education always seems to be at least context bound and that a number of 'actors' are involved, for example students, lecturers, the administration, the government, professional bodies, employers, and society in general. All these actors have their own, sometimes conflicting, interpretations of quality, with the result that it creates a problem area in the quality enhancement and assurance process. She (2004:373) also quotes Vroeijenstijn and states that in education there is no clear indication whether the 'customer' is the institution, the student, the future employer, or society.

Bornman (2004:374) then quotes Perry's statement on education as:

> It cannot be said too often that the real quality of education must be measured in terms of what the students know, understand and can do at the end of their education experience. These are unquestionably the criteria used by employers and society at large.

She continues by stating that in line with most authorities on quality assurance, this statement by Perry seems to have succeeded in catering for all the major elements of quality assurance in education, namely the learner, customer satisfaction, and society at large where the learner has to apply his/her knowledge and skills (Bornman 2004:374).

In applying quality assurance, Education and Training institutions will therefore have to comply with the following requirements:

- Quality assurance will be a primary instrument for evaluating accountability as governments or external agencies are getting increasingly explicit through policy about what they require from ETD providers.

- Institutional quality assurance will always be conducted as part of a larger national quality management system.

- Quality of education will always be assured within a given context.

- The stakeholders must be identified, for example lecturers or facilitators, the administration, the government, professional bodies, employers and society in general.

- The sometimes conflicting interpretations of quality by these role-players must be determined and understood to enhance quality assurance processes.

- Possible clients must be identified, for example the institution, the learners, the future employers or society at large.

2.2.3.5 Conclusion

Quality assurance addresses the tensions identified between the demands of external accountability and the processes of internal improvement. It is the activity of providing evidence to establish confidence that quality requirements will be met and that the product or service will optimally fulfil the customers' expectations.

Quality assurance must be proactive and detect quality problems before they occur. Given this, the best way to ensure quality is in the design of products, services and processes. If implemented correctly, quality assurance will therefore provide the means by which defects are anticipated and mitigated during development and all phases of production.

An efficient quality assurance system will define, prioritise, quantify and measure the processes and techniques throughout the product's or service's life-cycle to enable early detection and corrective actions of deficiencies. This necessitates that the emphasis with assuring quality should be more on continuously improving processes than on the products themselves because it is assumed that improved processes will ultimately enhance product quality.

Quality assurance will also provide the means by which defects can be identified after they arise. Although quality assurance therefore includes some elements of inspection and control, the focus should always be on identifying and eliminating potential causes of errors in order to achieve the anticipated level of quality.

In the ETD environment in South Africa, however, quality assurance has emerged as a primary instrument for evaluating performance and accountability and the government and SAQA and its structures are explicit through policy about what they require from ETD providers. Institutional quality assurance will always be conducted as part of a larger national QMS. As the quality of education will always be assured within a given context, all stakeholders will have to be identified. Possible clients are not only limited to the students or learners but could include institutions, the future employers, and society at large. The sometimes-conflicting interpretations of quality by these role-players must be determined and understood in order to enhance the quality assurance processes within an ETD context.

2.2.4   Summative Remarks

A TQM approach will provide an approach that would generate continuous quality improvement. TQM is described as an approach, a philosophy or a business strategy and a number of core values seem to be common in most of these descriptions. These core values include customer satisfaction, commitment from management, involvement from employees at all levels, focus on processes, changing organisational culture, fact-based decisions and also continuous improvements. In order to implement TQM an organisation should therefore incorporate all these core values into its management approach. Section 2.3 will discuss how implementing and using organisational self-assessment to improve performances could address these core values of TQM and especially continuous improvement. Ultimately the self-assessment process could convert the knowledge gained into effective new action plans as part of a TQM approach and continuous cycles of performance improvement.

As most definitions of quality are based on meeting the customer's expectations of the product or service, managers within the ETD environment will have to determine the needs of their clients or potential clients, in their quest for improved quality of education and training. Quality assurance should therefore focus on process designs that proactively anticipate the needs or expectations of clients.

In the ETD environment in South Africa the government and SAQA and its structures are explicit through policy about what they require from ETD providers. Institutional quality assurance will therefore always be conducted as part of a larger national quality management system. As the quality of education will always be assured within a given context, all stakeholders, customers or clients will have to be identified. Possible clients are thus not only limited to the students or learners but also include institutions, the future employers, and society at large. The sometimes-conflicting needs and expectations by these role-players must all be determined and understood in order to enhance the quality assurance processes within an ETD context.

2.3   SELF-ASSESSMENT PRACTICES FOR IMPROVEMENT OF ORGANISATIONAL PERFORMANCE

2.3.1   Self-assessment of Organisational Performance

2.3.1.1 <u>Introduction</u>

Even if an organisation is successful today it will always have to develop and improve its performance in a rapidly changing and competitive world. To improve or not improve performance will therefore in the long-term be the difference between success and failure for an organisation. Nilsson and Samuelsson (2000:9) believe that organisations that manage to improve continuously will be more flexible and competitive than the ones who got stuck in the past.

Zink and Schmidt (1998:147) believe that the starting point for a company's new orientation may often be a vision – a comprehensive and foresighted imagination of purposes and ways to achieve them. The vision then is the basis for corporate policy, which is orientated to the ideas of TQM.

Povey (1996) states that in all organisations goal setting and strategic planning activities should be aimed at answering the following three fundamental questions: Where are we, where do we want to go and how do we get there? When trying to answer these questions the organisation must create a picture of its strengths and areas where improvements can be made. The process of doing this is a carefully performed self-assessment that will give management the possibility to base decisions on facts instead of perceptions.

According to Zink and Schmidt (1998:153), traditional controlling methods are strictly orientated to the past whereas these self-assessment concepts try to concentrate on vital factors for surviving in future competition. Self-assessment involves a thorough, organisation-wide evaluation of current management and operations policies, practices and procedures, in order to enhance overall business performance rather than solely the quality of products or services.

Even educational institutions and schools that traditionally relied on external inspection as the main driving force in terms of the evaluation of school and learner performance, are today taking part in a growing drive for internal self-evaluation, arising from the desire of schools and teachers to assess their own performances. Rudd and Davies (2000) view external inspection and self-evaluation at schools as complementary activities.

Zink and Schmidt (1998:147) believe that self-assessments can be conducted in different ways each with its advantages as well as disadvantages. Different practical ways to undertake self-assessment could be based on an accepted framework for assessing performance. Examples of internationally accepted frameworks or models will be discussed in chapter 3.

2.3.1.2. <u>Defining Self-assessment</u>

Powell (2000:42) states that self-assessment as opposed to being controlled and audited by external parties is a form of internal evaluation by members within an organisation. Self-assessment involves members from all levels in the organisation in a regular and systematic review of their processes and results achieved. It is a starting point for a structured approach to continuous improvement, in which the self-assessment process encourages employees to become personally involved in improvement activities.

In line with most other views, the South African Excellence Foundation (SAEF 2001a:9) defines self-assessment as a comprehensive systematic and regular review of an organisation's activities and results referenced against a model of performance excellence. The Self-Assessment process allows an organisation to clearly identify its strengths and areas in which improvements can be made. It culminates in planned improvement actions, which are monitored for progress.

Self-assessment comprises a positioning against a framework and focuses on strengths and areas of improvement. It is both historical and forward looking and aims to motivate those who are involved (SAEF 2001b:2-4).

The definitions of self-assessment of performance that were mentioned above concentrate on the following:

- Self-assessment must be comprehensive; it must involve the whole organisation and assess a broad spectrum of criteria or activities and results.
- Self-assessment must be a planned action and conducted in a systematic manner.
- Self-assessment must be done at regular intervals and not only to initiate a new approach.
- Self-assessment is usually conducted against a chosen model.
- The self-assessment process allows an organisation to clearly identify its strengths and areas in which improvements can be made.
- Self-assessment must culminate in or be followed by planned improvement actions.

2.3.1.3 The Goals of Self-assessment

Van der Wiele, T., Brown, A., Millen, R. and Whelan (2000:16) state that although quality award guidelines were often used as the basis for self-assessment, trying to achieve a quality award was not considered by these authors to be a significant reason for using self-assessment. Other important goals and objectives could motivate organisations to conduct a self-assessment of their organisational performances.

The goals and objectives for conducting a performance self-assessment may differ from one organisation to another. The following aspects can, however, describe some of the most important goals of self-assessment:

- To serve as a starting point for a structured approach to continuous improvement (Powell 2000:42).
- To identify the status of the quality endeavours within the company before implementing TQM (Zink & Schmidt 1998:149).

- To identify specific strengths and areas for improvement within the company (SAEF 2001a:9).
- To compare the results with former assessments as basis for initiating the next improvement cycle (Svensson 2004:31).
- To increase quality awareness in all aspects of the business (Van der Wiele et al. 2000:15).
- To encourage employees to become personally involved in improvement activities (Powell 2000:42).

In their study of progress in Europe's leading organisations in quality management practices, Van der Wiele, Williams, Dale, Carter, Kolb, Luzon, Schmidt and Wallace (1996:89), determined that the following five reasons were considered by these leading organisations to be the most important for their organisations' taking the initiative to start a process of self-assessment:

- Find opportunities for improvement;
- Create a focus on the criteria of the selected TQM model or framework;
- Direct the improvement process;
- Provide new motivation for the improvement process;
- Manage the business.

These top five items in the ranking are all related to managing the quality improvement process and giving added impetus in the drive towards TQM.

2.3.1.4 Prerequisites for Successful Self-assessment

When embarking on a process of organisational performance self-assessment, management must realise that some prerequisites will exist for the acceptance and success of the outcomes of these self-assessment activities. When planning for self-assessment organisations will have to determine the aim of undertaking it, and how the process can be designed and managed to ensure that it will be effective and rewarding

The American Public Works Association (APWA 2003) states that the self-assessment process assumes that an organisation already has a fundamentally sound corporate culture, which is ready for embarking on a process of improvement. This will entail a level of organisational maturity, commitment to performance improvement and a focus on client expectations.

Van der Wiele, et al. (2000:11) state that self-assessment involves considerable training. This will start at the top of the organisation to create awareness and understanding with senior managers and can then be cascaded down to lower management levels. Training can be organised internally, but many consulting firms also offer training modules for introducing self-assessment. These authors continue by mentioning that the self-assessment process could demand considerable time and attention, and, therefore, the whole process has to be linked and integrated into the company's existing planning and review process. Jackson (1999:62) also affirms that self-assessment needs immense personal commitment and hard work.

Zink and Schmidt (1998:150-151) believe that all managers must be involved and that the following appropriate conditions are demanded for the implementation and execution of effective and rewarding performance self-assessment:

- An existing corporate policy with visions, missions or company goals including the basic ideas of total quality management.
- Detailed information for the management on the benefits and possible threats of self-assessment and the necessary conditions like resources and time.
- Involving top-management in the conception of the assessment instruments by way of workshops or external consultants.
- Involving the company's relevant functional areas, like the quality assurance department and the human resources department, in the conception and handling of the analysis and assessment instruments.
- Provision of resources like time, personnel and finances, for the implementation of the selected assessment method or tool.

- Qualification or training of all managers, assessors and promoters supporting the assessment process.
- Informing people on targets, execution and consequences of the self-assessment;
- Continuous adjustment of the assessment instrument to changes identified by regularly reviewing the corporate policy and the manner of executing the self-assessment.

It is therefore clear that self-assessment can only be performed after analysing whether these prerequisites could be met.

2.3.1.5   The General Process of Self-assessment.

It can be deduced from the previous sections that when planning a self-assessment process the members in the organisation should be provided with both structure and flexibility. It should be comprehensive yet efficient, and adapted to the specific organisation to meet all its defined needs. Self-assessment can therefore be initiated in the organisation as a whole or in a department or unit of the organisation. The culture and structure of the organisation as well as the benefits desired would influence the particular method that is adopted.

Whichever method is used, the key point to remember is that self-assessment is about continuous performance improvement of an organisation. The most critical phase of the self-assessment process is action planning and implementation after the self-assessment has been conducted.

The flow diagram of the general process of self-assessment (figure 2.3) presented by the South African Excellence Foundation (SAEF 2001a:17) represents a generic process and demonstrates the general steps involved to establish and conduct self-assessment and also includes some of the issues that may need to be considered during each step.

Figure 2.3 The General Process of Self-assessment

Develop commitment	• Gain commitment of top executive • Develop commitment of senior management team through understanding • Educate senior management in use of the selected model as a driver for continuous performance improvement initiatives.
Plan self-assessment	• Select self-assessment approach • Identify appropriate organisation units for self-assessment • Select *'early adopters'* to pilot process • Define boundaries of selected organisation units • Establish self-assessment plan guidelines and instructions
Establish self-assessment teams and educate	• Assemble teams to manage self-assessment • Select relevant people • Train people directly involved • Consider case study as basis for training • Identify strengths / areas for improvement
Communicate self-assessment plans	• Determine communication messages, media and target • Emphasise that this process underpins focus on customer and business prosperity
Conduct self-assessment	• Use selected methods to self-assessment
Establish action plans	• If necessary consolidate inputs from organisation units • Review areas to address • Assign priorities • Agree responsibilities and milestones • Communicate action plan and strategic direction
Implement action plan	• Set up performance improvement teams • Provide appropriate resources

Repeat process

Source: SAEF (2001a:17)

Svensson (2004:31) describes self-assessment in four phases: planning, describing, analysis and improvement work, as presented in figure 2.4. The aim of the four phases is to constitute a platform for the improvement work.

Figure 2.4   Self-assessment Seen as Four Consecutive Phases

Planning	**How do we work today?**	**Analysis**	**Improvement plan**
• why? • when? • how? • tool?	Create a description of today's work	Analysis of the description	Plan for improvements • what? • when? • by whom?
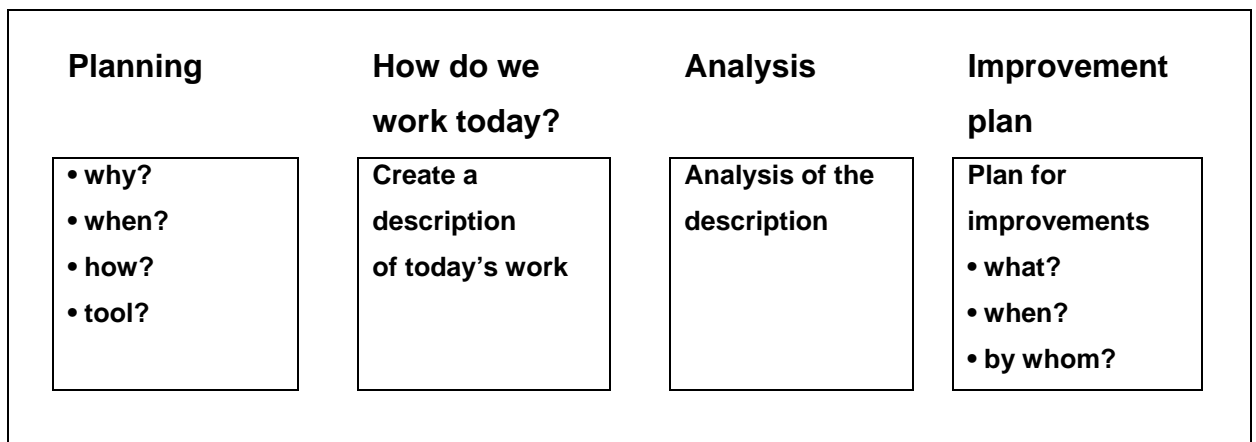
Source: Svensson (2004:31)

Svensson (2004:32) states that it may be argued that the focus too often is placed on the second and third phases in figure 2.4. The first phase, and also the fourth and most important phase, are often neglected. Therefore he strongly believes that all four phases in this four-phase model are equally important as the four phases in the self-assessment process can be considered as one lap around the improvement cycle as illustrated in figure 2.5.

Figure 2.5   The Improvement Cycle
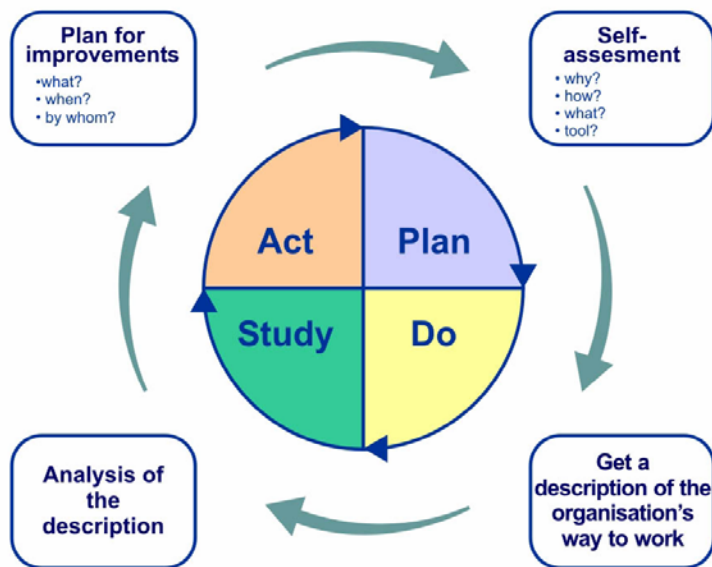
Source: Svensson (2004:32)

Svensson (2004:33) combines his four-phase model of self-assessment with the four phases of a 'Plan, Do, Study, Act' cycle and he demonstrates that the outcome of an improvement cycle might be supplemented by other improvement considerations that were identified. The results of a self-assessment together with these other improvement considerations, must result in a second consecutive improvement process as illustrated in figure 2.6.

Figure 2.6   Continuous Improvement Cycles
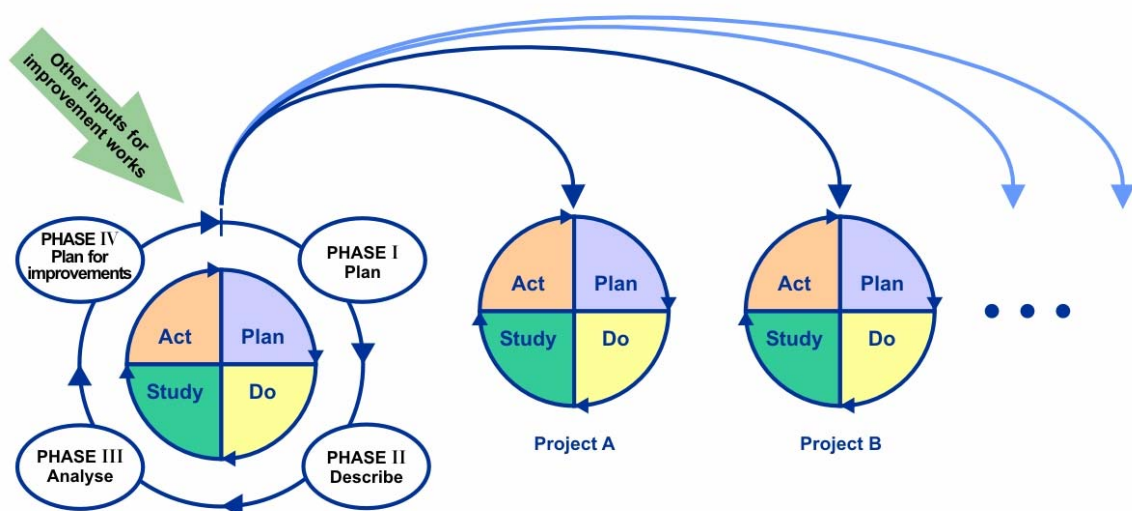
Source: Svensson (2004:33)

In figure 2.6 self-assessment and improvement work are seen as interdependent and consecutive processes each consisting of four phases similar to those in the improvement cycle.

In their study Nilsson and Samuelsson (2000:68-69) added another important aspect of self-assessment. They describe the self-assessment cycle as five interlocking components namely: Plan – Assess – Improve performance – Share – Develop. They believe that to approach self-assessment by the five-component cycle will make it possible for companies to grasp the context of self-assessment and improve business performance. The five-component cycle of self-assessment can be illustrated as a system with five gears. All the components have to be in place and well lubricated to make the machinery work smoothly.

Figure 2.7   Nilsson and Samuelsson's Five Interlocking Components of the Self-Assessment Cycle
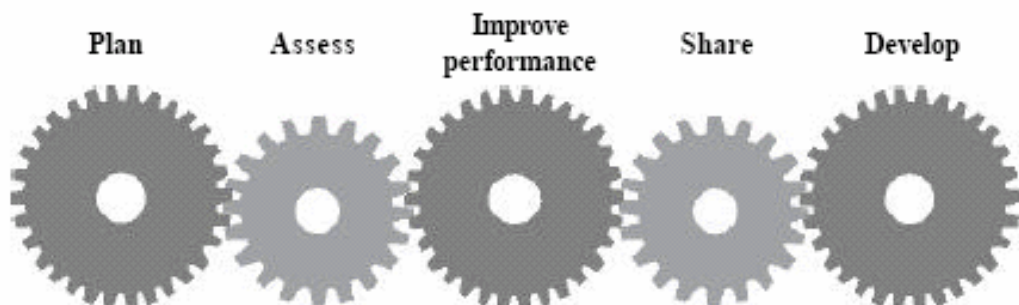
Source: Nilsson and Samuelsson (2000:68)

Even though this study focuses on self-assessment activities and methods, it is clear that one should have a holistic view of the whole process and not isolate the self-assessment actions from the other phases within the process. Thorough planning and analysis of both self-assessment data and other external factors must ultimately provide action plans for continuous improvement.

2.3.1.6   Methods for Conducting Self-Assessment

As was mentioned before, managers within an organisation should determine why

a performance self-assessment is undertaken, before embarking on the process. They must also identify who should be involved, before deciding how the process will be designed and managed. When planning a self-assessment process and selecting a self-assessment method managers should therefore give careful attention to the particular methods chosen to conduct the self-assessment. The culture and structure of the organisation as well as the benefits desired or purpose of the assessment will influence the particular method adopted. According to the SAEF (2001a:18-25), each organisation will consequently need to select, or even adapt, one or more of the following possible methods, to meets its own requirements and circumstances:

- An award simulation.
- A pro forma.
- A workshop
- A matrix
- Questionnaires.

The self-assessment methods selected can be adapted to any organisational setting, and only parts could be used to meet a variety of needs. It could thus be necessary to design or select assessment criteria and tools for scoring these criteria, to suit the specific situation and goals of the organisation. Existing frameworks or models like the European Quality Foundation's or South African Excellence Foundation's models (as discussed in chapter 3) could be used as internationally accepted frameworks.

The different self-assessment methods could vary in terms of the workload required, resources and time needed for implementation. The thoroughness, reliability and accuracy of the outcome of the self-assessment will, however, rely on the methods used to gather relevant information. There is no single 'correct' way of conducting a self-assessment and many factors could influence the selection of the best method or even integrated methods for a given organisation to reach its objectives (SAEF 2001a:28).

When discussing various methods of self-assessment, many organisations and authors mention the same list of methods and record more or less the same perceived benefits for each method (EFQM 1999; SAEF 2001a). For this study

the discussion of these different methods will mainly be based on the point of view expressed by the South African Excellence Foundation (2001a: 18-25). The following different methods are possible ways to conduct organisational performance self-assessment:

- **The Award Simulation Method**

This method means that a self-assessment is conducted and the findings documented in line with requirements specified when applying for a performance award as discussed in chapter 3 of this study. The self-assessment may be for the whole organisation or a single unit only. The format and length of the submission document is prescribed in the official documents of the relevant Awards Organisation. An internal process similar to that employed for the award application is then established. Trained assessors conduct the assessment, which is based on the written submission. For a department or unit of an organisation, the assessors could originate from another division of the organisation. If the whole organisation is involved external assessors could be used.

A typical process would include the following steps. After agreement has been reached to undertake a self-assessment using the Award Simulation approach, a project manager and report architect or compiler as well as appropriate personnel of the report writing team are appointed. Following the necessary training, the report writing team gathers data and compiles sections of the report, which the report architect merges into a final report. It is then vital that senior management acknowledges the report as a fair representation of the organisation and accepts ownership of the report. An assessor team that has been created and trained receives copies of the report and assessor members individually identify the strengths, areas for improvement and score the report. The assessors, led by the senior assessor, must reach consensus and produce a feedback report, including possible solutions. Management could now prioritise identified strengths and areas for improvement and implement appropriate action plans.

Overall, this process provides a very comprehensive approach to self-assessment and is believed to provide a high degree of accuracy in the scoring profile because of the role of external assessors.

In the process of recording the information the Award Simulation method provides a powerful and concise way of reflecting the culture and performance of the organisation in a report that can be referred to repeatedly, providing an important reference for communication to be shared amongst the people within an organisation, the community, its customers, suppliers and others with an interest in the organisation.

The fact that senior management can be less involved by taking the opportunity to delegate most of the work must be mentioned as one of the disadvantages of this method. It can also be seen as an exercise in creative writing as report writers may cover up some of the real issues in order to impress external assessors. In the researcher's experience this method may be too ambitious as a first attempt at self-assessment.

The main advantage of this method is, however, the value-added feedback received from external assessors and the fact that it provides a learning opportunity for organisations that are intending to apply for Excellence Awards, Prizes and Certificates.

- **A Pro Forma Approach**

To reduce the amount of work and time involved in undertaking to document a self-assessment, a set of pro formas could be designed, for completing each of the selected criterion parts (see section 3.4.4) that must be assessed. The description of each criterion part could be printed at the top of the page with areas to address beneath it. The rest of the page would be sub-divided into sections for strengths, areas for improvement and evidence. The self-assessment document could then be prepared by individuals or teams from within the organisation and scored by trained assessors, preferably external to the organisation.

For larger organisations comprising several business units, the pro-formas from the various units can be collated and the common strengths and areas for improvement identified. From this, current strategy can be reviewed and organisation-wide improvement plans can be developed.

The data gathering part of this process might be as long as the Award Simulation method, but the task of preparing the pro forma, one page per criterion part, is easier and less time consuming than drafting a full award style report.

Although the collection of pro formas does not tell the full story of the organisation and represents only a summary of the position, scoring profiles can be derived which, in terms of accuracy, lie closer to the Award Simulation method rather than the other methods mentioned in this section.

- **The Workshop Method**

This method comprises a workshop where management is responsible for discussing data they have gathered and reaching consensus on the organisation's strengths and areas to be addressed. Preferably two people, fully trained as assessors, should facilitate these workshops. Ideally, one of the assessors should be from the unit or organisation being assessed and the other from another part of the organisation or an external assessor. The advantage of this method is that it requires the active involvement of the management team of the unit performing the self-assessment.

Five important components of this workshop process can be identified:

  o **Training**

Training for the management team will usually involve preparatory reading and the attendance at a training event to familiarise them with the assessment framework and scoring system that will be used. A brief simulation of the scoring workshop will enable them to agree on the issues to be addressed. This will ensure that an effective workshop is held on the planned date.

  o **Data Gathering**

Experience of organisations using the workshop method has been that the gathering of the data that will be discussed during the workshop can be one of

the early learning opportunities for the management team. Sufficient time needs to be allowed for the management team to perform this task.

o **Scoring Workshop**

Different methods could be employed for assessing according to criteria during a workshop. Consideration needs to be given to the order in which the criteria will be addressed and the time that would be allocated to each discussion. A proposed sequence of events could include, but is not limited to the following:

➢ Criterion part introduced and the discussion led by a member of the management team.
➢ Information gathered beforehand is presented to other members of the team in the form of strengths and areas for improvement.
➢ A check is made with the rest of the team to ensure nothing relevant to the criterion part has been omitted.
➢ Discussion and agreement on strengths and areas for improvement.
➢ Team members score individually.
➢ Individual scores shared.
➢ Consensus gained.

It will be in the final two stages (individual scores shared and consensus gained) that the facilitators will need to call upon their assessor training and experience to challenge the management team to determine to what extent they have met their objectives.

o **Agreeing on Improvement Actions**

At the end of the workshop it would be inappropriate to move immediately into an action-planning phase, as workshops are demanding and time consuming events. However, as part of the process the management team should set a further date at which action plans will be drawn up. Usually individual members of the team will take ownership of specific areas related to outputs from the self-assessment workshop and develop a set of proposals to be presented at the subsequent action-planning workshop.

o **Reviewing Progress**

Although not part of the self-assessment as such, it is vital to ensure that reviewing progress against action plans is part of the normal business review process of the organisation and not a separate activity. As with other methods, the process should be repeated at appropriate intervals for continuous improvement.

A workshop method is probably the best way to get the management committed to a Performance Improvement Plan. Discussions and agreement by the management team also help to build a common view on the current state of the organisation. This leads to ownership by the management team of the outcomes and would facilitate subsequent prioritisation and agreement to action plans.

Using a workshop method could, however, be a high-risk method and needs excellent preparation and facilitation to ensure that the management team is fully prepared and comfortable with the process. There is scope for unrealistic scoring due to the fact that managers may not understand issues or processes related to other departments, have not collected all relevant data or are unwilling to reveal problems experienced in their departments. This can lead to concerns as to the true relevance of the list of strengths and areas for improvement.

Reaching consensus on issues could also prove to be difficult within the context of a group-decision making process. Authoritative figures, compromises, personal preferences and many other contributing factors that are discussed in section 2.3.2, could influence the value of the consensus reached.

- **The Matrix Chart Method of Self-assessment**

The Matrix Chart method involves the creation of a company-specific achievement matrix within the chosen assessment framework. This performance matrix will typically consist of a series of statements of achievements against a number of points on a given scale.

Although every organisation is different and may face different issues these matrix diagrams can help in understanding the criteria in a more practical way and offer teams a means to quickly and simply assess their progress. The matrix chart method can be used at any level within the organisation, either by the management team or by a representative cross-section of the people from the business unit undergoing the self-assessment.

Matrix charts can be used in combination with other methods as it provides members' perceptions of the levels of performance within the organisation. It is, however, necessary to carry out a preparation briefing where the respective instrument and the requirements regarding the assessment process will be explained. Individual matrix chart ratings can be statistically analysed to determine trends in perceptions or it could be used as basis for discussions to reach consensus during workshops.

Although this method in itself may not provide the reliable and valid data needed for a comprehensive self-assessment, a well constructed matrix and correctly analysed responses could provide useful data of members' perceived views of actions and processes within the organisation.

This method is less resource intensive and time consuming, especially if an existing matrix chart is used. However, the resource and time requirements will increase considerably if an organisation chooses to create its own matrix chart. Involving the management team of an organisation in developing their own matrix chart can, however, force them to discuss, reach consensus and articulate their collective vision, and the steps towards achieving their goals.

Although the scoring is less accurate, the Matrix Chart method is simple to use and only basic awareness training is sufficient for understanding the procedures. This method is particularly suited for use as a first step in self-assessment. It can be used at all levels in the organisation and is therefore useful to get everybody involved in performance improvement. It could also enhance the outputs of other self-assessment methods.

- **The Questionnaire Method of Self-assessment**

The use of questionnaires is another valid method of self-assessment and provides a meaningful introduction to self-assessment. Some organisations use simple yes/no questionnaires as a method for widespread data gathering in support of a more elaborate self-assessment method like a workshop. Other companies use more sophisticated questionnaires as the prime method for analysing strengths and areas for improvement, and establishing the basis for a business improvement plan. In these questionnaires, multiple choice answers rather than yes/no responses are utilised.

This method is one of the least resource intensive, provided an existing and proven questionnaire, constructed by an acceptable agency like the South African Excellence Foundation, is used. Not everyone in the organisation may, however, understand the meaning of the questions and therefore the questions asked could be customised to suit the organisation.

It is an excellent method for gathering information on the perceptions of people within an organisation. However, the existing questionnaires usually demonstrate what people think, not why they think it. The accuracy, reliability and validity of the responses will therefore depend upon the quality of questions asked.

Questionnaires are simple to use, as basic awareness training is sufficient to provide the participants with the required knowledge of the aim of the assessment and procedures that will be followed. The results are also easy to compute into numerical outcomes and the results of the responses can be used in parallel with the workshop method to provide a more balanced view for the implementation of a continuous performance improvement programme.

- **Summary**

As mentioned before, there is no particular method that could be argued to be the 'correct' way to perform a performance self-assessment. In selecting a method or a combination of methods, the organisation will need to consider all the implications of the various methods in terms of time, cost and quality of outcomes.

These considerations need to be set within the context of the organisation's culture and the desired outcomes from the process. It is also not possible to identify a particular method, which will always provide the required data at all levels in all organisations. A matrix or questionnaire completed by the workers could involve them in the self-assessment process while the data received could be used by management to conduct a workshop or complete an award simulation. Each organisation will need to develop a method or combination of different methods, which meets its own requirements and circumstances. The selected method or combination of methods must be systematic and used by management with particular emphasis on linking the self-assessment to continuous improvement actions within the business planning process.

The success of any self-assessment will be based on the quality of data gathering and data analysis and this implies that thorough research has to be conducted if reliable and valid results are to be obtained. Observations, interviews, surveys, analysis of documentation and other research techniques would enhance the inputs during self-assessment events. Qualitative matters such as leadership and people satisfaction will especially require expert analysis.

The selection of a self-assessment method will also be determined by the organisation's customary quality management framework. National and international performance frameworks and quality models, as will be discussed in chapter 3 of this study, present organisations with criteria and frameworks to assess their performance excellence.

2.3.1.7   <u>Benefits and Possible Threats When Conducting Self-Assessment</u>.

When discussing the process of self-assessment, it became clear that the assessment action involving planning the self-assessment, conducting the self-assessment, analysing the data and recording the findings and recommendations for improved business planning, are part of a larger improvement initiative. Although isolating the self-assessment as such from the rest of the performance improvement cycle may pose some questions, it is necessary to analyse the sub-processes of self-assessment to determine possible benefits and threats of the assessment itself.

Literature that ventures to discuss the benefits of self-assessment, does not make this distinction and lists benefits of both the self-assessment as well as those related to the improvement initiatives (cf. Van der   Wiele et al. 2000:15; Powell 2000:42).

The South African Excellence Foundation (SAEF 2001a:32) states that the process of self-assessment does not in itself improve the organisation and that nothing would change in the organisation as a result of this activity if the outcomes are not acted upon or linked to the organisation's business planning process.

Although acting on the results obtained by the self-assessment is the ultimate objective of any self-assessment venture, some authors do, however, mention some additional benefits that could result from the self-assessment itself (cf. Jackson 1999; Rudd& Davies 2000; APWA 2003).

Svensson's (2004:32) improvement cycle mentions additional external inputs or other improvement considerations that might supplement the original goals in the self-assessment action-planning phase. It is the belief of this researcher that some additional benefits can be derived from the self-assessment itself that would, in addition to the important business planning process and formal improvement initiatives, add to and enhance the outcomes of these improvement programmes. If not managed correctly, however, self-assessment could also pose some risks or threats that could harm improvement programmes.

- **Possible Benefits of Using Self-assessment**

Although usually not claiming that it is the result of scientific research, many authors and organisations provide lists of benefits that they claim could be achieved by conducting self-assessment as part of a performance improvement programme. The following possible benefits of the self-assessment as such, are commonly mentioned in the literature:
> o The main benefit obtained from a self-assessment process is the performance data, which is based on facts and not individual perceptions and can be used to the organisation's business

planning process (SAEF 2001a:9).

o Self-assessment provides a means to achieve consistency of direction, consensus and sharing the same conceptual base (SAEF 2001a:9).

o Organisations could track progress over time and observe growth through periodic self-assessment (US Dept of Labour 2003).

o Self-assessment provides the means to educate and develop people in the organisation, encourage them to share expertise and take up training opportunities (Rudd & Davies 2000).

o It creates enthusiasm (SAEF 2001a:9) and improves staff morale (Jackson 1999:63).

o Self-assessment involves the organisation's people in the improvement process and gives fresh impetus to their pursuit of performance excellence (SAEF 2001a:9).

o It increases dialogue and cooperation necessary to conscientiously complete the process (APWA 2003) and improves communication within the organisations (Jackson 1999:63).

Van der Wiele, et al. (2000:20) conducted research on improvement in organisational performance and self-assessment practices by selected American firms and found that in general, their results support the contention that higher levels of self-assessment activity and higher levels of improvement are related. While the direction of causation is not certain, this gives an indication that self-assessment may be a process that impacts positively on organisational performance.

- **Possible Threats When Conducting Self-assessment**

When conducting self-assessment in an organisation some factors may be a threat to achieving the desired results. The researcher deduced the following possible threats when conducting self-assessment from the studies of Jackson (1999:60-62):

o The self-assessment project is seen as 'add-on' activities rather than part of the day-to-day business. This increase in the workload could fuel resistance.

o The correct timing may not be considered for implementing the self-assessment.

o Management may attempt to bite off more than they can chew or want to change too much overnight.

o Members may not understand the models or terminology used in the assessment process.

o Members may be cynical regarding the method or model used for self-assessment and staff may demonstrate a tenacious resistance to change.

Rudd and Davies (2000) warn against suspicions among staff as to the purpose of self-evaluation. They also mention suffering from initiative fatigue and the lack of resources as possible threats when conducting self-assessment.

Zink and Schmidt (1998:167) caution that organisations should avoid emphasising an inside orientation and should also benchmark to determine the competitors' performance. They also add the threat that the traditional quality department will be responsible for the self-assessment. This could exclude members from involvement and participation and also lead to a biased report. They also mention the risk of a 'mechanistic' execution of the self-assessment without reflecting the psychological aspects and the transparency resulting from the assessment. For this reason the researcher included a discussion of relevant psychological aspects in the following section.

2.3.1.8 Summary

This section suggests how organisations could implement and make use of self-assessment to improve performance. The results of these self-assessments provide the data that could serve as a basis for business planning. Self-assessment engages members at all levels of the organisation in a challenging process of organisational self-discovery. Ultimately the self-assessment process must convert knowledge into effective action plans, as acting on the results

obtained by the self-assessment is the ultimate objective.

Managers within an organisation should decide why a performance self-assessment should be undertaken, before embarking on the process. They must also identify who should be involved, before deciding how the process will be designed and managed.

In planning a self-assessment process members should be provided with both a framework to provide structure as well as a method that is flexible enough to adapt to the organisation's needs and objectives. Careful attention should therefore be given to the particular method or methods chosen to conduct the self-assessment. The culture and structure of the organisation as well as the benefits desired or purpose of the assessment will influence the particular method adopted. The self-assessment methods selected can be adapted to any organisational setting, and portions could be used to meet a variety of needs. It could thus be necessary to design or adjust some criteria and/or the scoring to suit the specific situation and goals of the organisation.

The different self-assessment methods vary in terms of workload required, resources and time needed for implementation. The thoroughness, reliability and accuracy of the outcome of the self-assessment will, however, rely on the methods used to gather relevant information. No single method can be recommended as the best way of conducting a self-assessment as all the factors mentioned above could influence the selection of the required method or even integrated methods for a given organisation to reach its own desired objectives. Several methods for self-assessment can be successful, but whatever method is chosen it must fit the organisation, be used continuously and foster participation.

Each self-assessment could contribute additional benefits, other than the important data provided to determine strengths and areas for improvement in order to plan and implement continuous performance improvement programmes. However, some self-assessment methods, if not managed properly, could also pose some risks or threats that could hamper improvement initiatives.

Although deciding to conduct organisational self-assessment and planning and performing a first assessment may have significant benefits of determining levels of performance at that given time, it is important to realise that only when constantly conducting new cycles of self-assessment, will the organisation be able to determine whether the desired and planned improvements have been achieved. Self-assessment is therefore not a short-term solution but must change the way people are thinking and requires continuous efforts and patience.

No causal link has been established why many companies that performed self-assessment reported improved levels of achievement, and it is unlikely that the self-assessment alone accounted for this improvement. However, the utilisation of self-assessment may indicate an approach that improves the probability of achieving such results.

Although some self-assessment methods, such as a questionnaire method, could provide data that could be statistically analysed and interpreted, most methods are based on group decision-making and the reaching of consensus. The next section of this chapter presents a short literature study on the main aspects that could influence reaching consensus when conducting self-assessment.

2.3.2   The Role of Group Decision-making in Self-assessment of Organisational Performance

2.3.2.1   Group Decision-making

Traditionally decision-making methods generally assumed the point of view of a single decision maker evaluating a set of alternatives with respect to one overriding criterion, such as cost or time. Today it is common practice that committees or groups are faced with many important decision-making problems where a number of distinct viewpoints emerge and a final decision is possible only after a consensus is reached (Liberatore & Nydick 1997:593).

Group decision-making is seen as important both in management literature and practice (Fisher, Rayner & Belgard 1995). The encouragement of participation and empowerment of employees has become one of the universal principles

underpinning many contemporary management approaches such as Total Quality Management (Dean & Bowen 1994) and Transformational Management (Avolio 1994). Many organisational decisions are therefore increasingly taking place in situations where groups with various perspectives are involved (West & Meyer 1998).

2.3.2.2   The Function of Group Decision-making

This emphasis on groups stems from the earlier perceptions that groups are seen as effective vehicles for decision-making and task performance contributing to organisational effectiveness (Feigenbaum 1983) and also that groups are effective vehicles for employee socialisation, motivation, commitment and satisfaction, leading to improved performance in the workplace (O'Reilly 1991).

Group decision-making is therefore essentially a process of aggregating a set of individual preferences into one of the group, be the group a population at large or a synergic group or team. Aggregation is not only necessary but is based on the notion that human wisdom is worthy of aggregation in making a decision (Von Solms & Peniwati 2001a:533).

2.3.2.3   The Benefits and Risks of Using Consensus

Realising effective participation in decision-making is, however, not without its challenges. Many researchers (cf. Nystrom 1978; Robbins 1989; Wood 1989) realised that solutions, tools and methods should be continually sought to overcome these possible problems to implement shared solutions successfully.

Two methods of aggregation of personal views are generally the use of *consensus* or *voting*. Although there was general agreement for many years that consensus is the best alternative in participatory group approaches (cf. Hare 1952; Adair 1986; Fisher et al. 1995), many researchers over the years have challenged this view and believed that consensus can in some cases lead to lower quality decisions. They have argued that:

- Group dynamics could pressure individuals to conform to the view of the majority (Asch 1958).
- It could be based on bounded rationality and satisfying behaviours in complex problem situations (Simon 1960).
- Consensus could be influenced by behavioural decision heuristics, frames and biases (Kahneman & Tversky 1979; Tversky & Kahneman 1981).
- Members may be seeking concurrence or are influenced by groupthink (Janis 1982).
- Authoritative leaders may possess power and domination that would limit free expression of dissent (Pfeffer 1981; Ulrich 1996).

Many other influences on the quality of group decision-making have also been investigated for many years. These studies included the effect of group size (Hare 1952); socio-emotional distractions (Bales 1952); leadership (Vroom 1974) and member cognitive preferences (Leonard, Scholl and Beauvais 1996). Lately the evidence for consensus as being universally beneficial is therefore believed to be equivocal (West & Meyer 1998).

A second challenge that groups face when attempting to use consensual decision-making relates to the particular paradigm within which the group decision-making takes place. Group decision-making is often approached exclusively from a perspective that assumes the existence of highly similar views, goals and values amongst the group members. The disagreements that exist between members of the group are often seen as diverse inputs that would enable the group to achieve high-quality objectives. Disagreements are, further, seen as relatively easy to remove through discussion and debate. These differences could, however, also be fundamental individual cultural, political, religious or ethical differences that could negate the possibility of reaching consensus. Group members may even differ on the aim of the discussion or objectives that the group should reach.

2.3.2.4 Effective Group Decisions

The aggregation of individual preferences, views and contributions into a group choice that utilises the positive effects of group decision-making must therefore be

addressed while simultaneously avoiding effects that could hamper group performance.

Literature towards the last quarter of the 20th century recognised that disagreement within a group can be both constructive as well as destructive depending upon how it was managed (Thomas 1976). Researchers have suggested techniques for reducing the risk of unexpressed disagreement and resulting sub-optimal decisions in groups facing complex, ambiguous problems. Methods that attempt to increase cognitive conflict in group-discussions have been reported as resulting in better decision outcomes when compared to consensual methods (Priem, Harrison & Muir 1995). A balance between consensus and dissent (Dooley & Fryxell 1999)] or *centrifugal* and *centripetal* forces (Sheremata 2000), must therefore be sought in group decision-making.

When seeking consensus as part of a performance self-assessment workshop, domination and power; pressures to conform; groupthink, behavioural effects and divergence of views will directly affect choice aggregation outcomes. Issues like conformity and deviance, which concern group interaction (Von Solms & Peniwati 2001a), and the process of social influence and the group polarisation process of aggregation in which the individual members' preferences are combined into a single group preference set (Von Solms 2003) will also have to be taken into account when deciding on a decision support method when conducting a self-assessment based on seeking consensus scores.

2.3.2.5 The Three-phase Model for Choice Aggregation

It is often assumed that members of an organisation or unit who work in the same environment with more or less the same background of thought will develop common grounds for their beliefs when debating an issue. But there may be cases where members can hold strongly differing judgments that cannot be reconciled. On the premise that the quality of a decision outcome is determined by the quality of the process or method used, it is the belief of this researcher that the use of a Three-phase approach (Von Solms & Peniwati 2001b), as depicted in figure 2.8, as an alternative to only consensus decisions within the workshop, would enhance the quality of the outcomes as it could provide the participants with

the benefits of the group discussions but also mitigate the possible problems of traditional debate and consensus decision-making.

Figure 2.8   A Three-Phase Approach as Alternative to Consensus Decisions

Phase 1	**Phase 2**	**Phase 3**
Members decide on their individual rating for a given criterion	Group discussion and seeking a consensus rating for the criterion	Members individually rate the criterion using the information gained during the group discussion
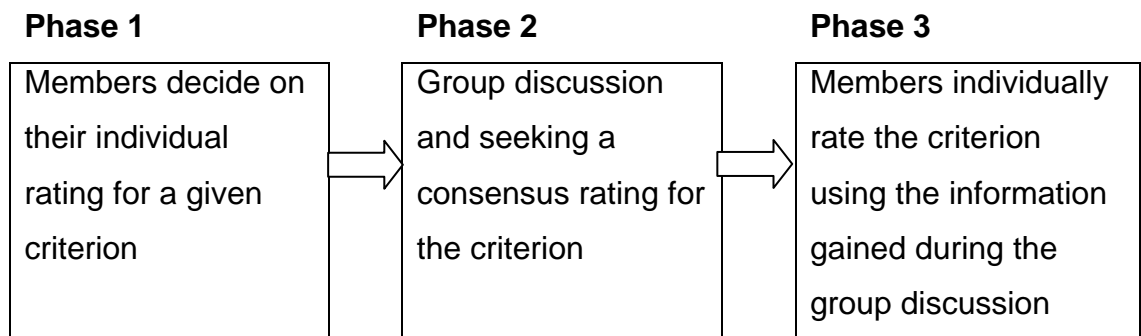
Source: Von Solms & Peniwati (2001b)

- During phase 1 of this model individual members are provided with a questionnaire, matrix or pro forma and requested to personally assess and rate each question or criterion presented. These ratings would demonstrate the personal views and perceptions of each member and could be statistically analysed to present the original trends of responses. Members would also use their personal ratings as points of departure for discussions during phase 2 of the model.

- During phase 2 of this model all the relevant members are involved in a group discussion or workshop with the objective to seek and decide on a consensus rating for each of the questions or criteria. All the benefits of a group discussion such as shared views and the exchange of information could enhance the quality of each consensus rating.

- During phase 3 of this model members again individually and anonymously rate each question or criterion using the information gained during the group discussions. This third rating would include all the benefits of the group discussion and knowledge of the group's consensus rating, whilst addressing the possible risks involved in conventional debate and

consensus decision-making. These ratings could also be statistically analysed to determine various trends as well as the influence of the group discussions on these final ratings. The significance of the results of this third phase is that it will supply management with additional data to verify the trustworthiness of the consensus ratings. A large difference between consensus and post-consensus scores will indicate the negative influence of one or more of the risks of debate as was described in section 2.3.2.4.

2.3.2.6   Summary

Group decision-making is important and using consensus as a choice aggregation method is widely accepted, but several problems are documented that can lead to lower quality decisions or member satisfaction with and commitment to decision outcomes. It is often presented that achieving participation is unproblematic and as if the only problem lies with managers who do not understand or appreciate the value of teamwork and participation. Effective participation, however, is not without its problems and managers and facilitators should continually assess their methods and approaches to participation and group decision-making. The practical value of a three-phase approach as an alternative to only consensus decisions is that it could provide management with data that would verify or challenge the trustworthiness of the consensus decisions. Responses during the third phase include the benefits achieved by participating in group discussions but also provide for individual choice without any of the possible threats or risks that could be involved in traditional debate and consensus decision-making.

2.4   SUMMATIVE REMARKS

In this chapter it was indicated that the concept of quality is open to several interpretations. Most definitions of quality are, however, based on meeting the customer's present and future requirements by continuous conformation to their expectations of the product or service. An approach to quality as meeting and even exceeding customer expectations, is applicable across industries, includes products and services and is also responsive to market changes. When addressing quality, organisations should therefore endeavour to eliminate the gap between what they internally believe and what the clients externally perceive as quality. Continuous conformance also implies that no organisation

can rely on its achievements in the past, but must search for continuous improvement to stay competitive in its field.

Seeking constant change and improvement will require that quality assurance would include some elements of inspection and control, but it would mainly focus on the future and be more process orientated in order to proactively eliminate causes of errors. It would even anticipate improvement actions needed to achieve the accepted level of quality at the time of production or service delivery. A TQM approach will provide an approach that would generate continuous quality improvement. A number of core values are common in most descriptions of TQM. In order to implement TQM an organisation should incorporate customer satisfaction, commitment from management, involvement from employees at all levels, focus on processes, changing organisational culture, fact-based decisions and also continuous improvements, into its management approach.

This chapter also demonstrated how these core values of TQM and especially continuous improvement could be addressed by implementing and using self-assessment to improve their performances. Ultimately the self-assessment process must convert the knowledge gained into effective new action plans as part of continuous cycles of performance improvement.

In planning a self-assessment process, careful attention should be given to the particular approach or methods chosen to conduct the self-assessment as the thoroughness, reliability and accuracy of the outcome of the self-assessment will rely on the methods used to gather the relevant information. The culture and structure of the organisation as well as the benefits desired will influence the particular method adopted. When selecting a method, the required workload, resources and time available will also have to be considered. Several methods for self-assessment can be successful, but whatever method is chosen it must fit the organisation, be used continuously and foster participation.

The aim of a self-assessment initiative is to obtain data that could be used in new performance improvement plans. It was, however, also indicated in this chapter that each self-assessment could also contribute additional qualitative benefits that could enhance future improvement programmes. Some self-assessment approaches or methods may, if

not managed properly, also pose some risks or threats that could hamper improvement initiatives.

Although planning and performing a first self-assessment may have the significant benefits of determining the current levels of performance in the organisation, it must be realised that the organisation will only be able to achieve its desired results if continuous new cycles of self-assessment are conducted. Self-assessment is therefore not a short-term solution but must be implemented to change the way people are thinking about quality and performance in the workplace. Improvement initiatives will always require commitment, continuous efforts and also patience.

Most self-assessment methods are based on group decision-making and the reaching of consensus or aggregating a set of individual preferences into a rating that would represent the view of the group. Although there was general agreement for many years that consensus is the best alternative in participatory group approaches, many researchers challenged this view and believed that consensus can in some cases lead to lower quality decisions or member satisfaction with and commitment to decision outcomes. They also challenge the popular view that achieving participation is unproblematic. Effective participation is not without its problems and managers and facilitators should continually assess their methods and approaches to address improved participation. For this reason a three-phase approach to aggregating the individual preferences into a rating that would represent the view of the group, is suggested.

Research sub-problem 1 (see section 1.3.2.2) questions how appropriate and useful is a TQM approach with its concepts, values, methodologies and tools that originated within the private sector, when conducting organisational self-assessment in supporting continuous performance improvement in ETD units in the SANDF. This chapter included a literature review to provide an overview of the origin and concepts of a TQM approach. The literature study also demonstrated that education and training managers are increasingly implementing a TQM approach within their institutions. In order for these ETD institutions to address the issues of quality and quality control, it is not only the expectations of customers that should be satisfied, but also adhering to the needs and expectations of all stakeholders and clients that would include those of students, future employers and the society at large. For this reason the appropriateness of using a TQM

approach in the ETD environment was tested during the empirical phase of the study (see section 5).

When selecting an approach to organisational self-assessment not only the methods but also the framework and criteria for assessment must be accepted by management and understood by all the members involved in the self-assessment. The following chapter will discuss some of the most well known models that have been internationally accepted by organisations in their quest for institutional self-assessment.

CHAPTER 3

QUALITY AND EXCELLENCE AWARDS AS FRAMEWORKS FOR SELF-ASSESSMENT AND CONTINUOUS PERFORMANCE IMPROVEMENT

3.1   INTRODUCTION

As was discussed in chapter 2, quality and the search for excellence have emerged globally as major issues. This focus on excellence and quality compels organisations to review their activities and achievements and identify the strengths and areas for improvement within the organisation in order to promote and ensure continuous organisational performance improvement. In this regard organisations have searched for frameworks or internationally accepted criteria to assist them in their institutional self-assessment approaches.

Ghobadian and Woo (1996:11) state that a number of factors have encouraged many countries to introduce local, national, or transnational quality awards. Among these factors were: the importance of quality as a significant contributor to competitive superiority; the essential contribution of benchmarking and self-assessment techniques to improving performance; and the success of the Deming prize as a catalyst for spreading quality methods in Japan. The broad aims of these awards are to:

- increase awareness of the importance of the 'quality of offerings' and interest in 'quality management' because of their important contribution to superior competitiveness,
- encourage systematic self-assessment against established criteria and market awareness simultaneously,
- prompt co-operation between organisations on a wide range of non-commercially sensitive issues,
- stimulate sharing and dissemination of information on successfully deployed quality strategies and on benefits derived from implementing these strategies,
- promote understanding of the requirements for the attainment of 'quality excellence' and successful deployment of 'quality management', and

- stimulate organisations to introduce 'quality management' improvement processes.

Each of these awards is based on a perceived model of TQM (see sections 3.3.2.4 and 3.3.3.4). They do not focus solely on either product or service perfection or traditional quality control methods, but consider a wide range of management activities, behaviour and processes, which influence the quality of the final offerings. Although these models, underpinning the quality awards, like most models, have limitations, they do provide a useful audit framework against which organisations can assess or evaluate their quality management methods, the deployment of these methods, and the end results. These frameworks have been designed to assist all organisations, large and small, private and public, to measure current performance and build a pathway to long-term success. Ferreira (2003:68) states that although they may differ slightly, quality models worldwide are based on fundamental concepts or embedded beliefs and behaviours found in high-performing organisations. Vokurka, Stading and Brazeal (2000:42) also mention that when these award programmes are compared, significant similarities are found in the criteria used for assessing award applicants. In addition, all of the award programs utilise self-assessment and continuous improvement initiatives to retain their positions as benchmarks in quality systems and as principles in the formation of a global quality model.

Although quality awards and assessment frameworks were first introduced and most widely used in business and manufacturing, their usefulness is not limited to these types of organisations. Recently, the concept of quality improvement has also been introduced and used in managing health services, education and other public service organisations (cf Baldrige 2005a; SAEF 2001d:6).

3.2   AIM AND SCOPE OF THE QUALITY AWARD OVERVIEW

When performing self-assessment of performance excellence or applying for a quality award, training units in the SANDF are required to utilise the concepts and assessment criteria of the South African Excellence Model (SAEM) (DOD 2000a: xi). This chapter therefore aims to address research sub-problem 2 (see section 1.3.2.2) that posed the following question:

What is the significance and impact of quality and excellence models as frameworks for self-assessment and continuous performance improvement?

The aim of this chapter will therefore be to provide the background and rationale for utilising of the SAEM as internationally accepted framework for the assessment of performance excellence.

The chapter will initially review three major international quality awards, their frameworks and internationally accepted fundamental concepts and assessment criteria in order to establish the base, concepts and criteria that are used in the South African Excellence Model for assessing organisational excellence or performances. The international quality awards that will be reviewed are the Deming Prize in Japan, the Baldrige Quality Award in the USA and the European Quality Award. They arguably represent the major quality awards in the world and potentially winning any one of these quality awards represents the highest honour and international recognition that an organisation can attain. Almost all international quality awards or frameworks were adapted from one of these models or feature the same fundamental concepts or assessment criteria (see sections 3.3.4.3 and 3.4.1).

This chapter will briefly describe the salient features of each of the awards and attempt to highlight their distinct attributes. Finally, these international awards are compared with the South African Excellence Award in order to evaluate the acceptability of the concepts and assessment criteria within the South African Excellence Model. This comparative analysis focuses on the following:

- Introducing or Origin and History of the Award.
- Application Categories or Awards.
- Fundamental Concepts.
- Underlying Framework or Model and the Assessment Criteria.
- Summary of the Key Characteristics of the Award.

An understanding of the concepts and impact of quality awards will enhance the appreciation of quality frameworks or models, highlight their underlying assumptions, and identify the benefits of using them as an audit framework for self-assessment of organisational performance.

3.3 INTERNATIONAL QUALITY AND EXCELLENCE MODELS AND AWARDS

3.3.1 The Deming Prize

3.3.1.1 <u>Introduction</u>

The W. Edwards Deming Institute is a non-profit organisation that was founded in 1993 by noted consultant Dr W. Edwards Deming. This Institute's official website (Deming Institute 2005a), provides a comprehensive overview of the Deming Prize. The following is a summary of the aspects most relevant to this research project.

The Deming Prize is one of the highest awards on TQM in the world. It was established in 1951 in commemoration of the late Dr William Edwards Deming who contributed greatly to Japan's proliferation of statistical quality control after the World War II. His teachings helped Japan build its foundation by which the level of Japan's product quality has been recognized as the highest in the world.

The Union of Japanese Scientists and Engineers (JUSE) invited Dr Deming (1900 - 1993), one of the foremost experts of quality control in the United States, to Japan in July 1950. Upon his visit, Dr Deming lectured at the Auditorium of the Japan Medical Association in Kanda-Surugadai, Tokyo and Hakone. Through these seminars, Dr Deming taught the basics of statistical quality control plainly and thoroughly to executives, managers, engineers, and researchers of the Japanese industries. His teachings made a deep impression on the participants' minds and provided great impetus to quality control in Japan, which was in its infancy. The transcript of his eight-day course was compiled from its stenographic records and distributed for a charge. Dr Deming donated his royalties to JUSE. In appreciation of Dr Deming's generosity, the late Mr Kenichi Koyanagi, managing director of JUSE, proposed using it to fund a prize to commemorate Dr Deming's contribution and friendship in a lasting way and to promote the continued development of quality control in Japan. Upon receiving the proposal, the JUSE's board of directors unanimously made a resolution to establish the Deming Prize.

3.3.1.2 Categories of the Deming Prize

The Deming Prize is awarded in three categories. These categories are the Deming Prize for Individuals, the Deming Application Prize and the Quality Control Award for Operations Business Units.

- **Deming Prize for Individuals**

The Deming Prize for Individuals is an annual award given to individuals who have made outstanding contributions to the study of TQM, statistical methods used for TQM, or individuals who have made outstanding contributions in the dissemination of TQM.

The Deming Prize Committee welcomes candidates' recommendations from others and applications from individuals for this prize before the deadline on July 31 every year. There is no difference in the examination process regardless if the candidates have been nominated by others or self-applied by themselves. After the Deming Prize Committee has determined the prizewinners, the winners' names are published and reasons for receiving the prize are stated. The award ceremony takes place in mid-November.

- **Deming Application Prize**

The Deming Application Prize is an annual award presented to a Japanese company that has achieved distinctive performance improvements through the application of TQM. Regardless of the types of industries, any organisation can apply for the Prize, be it public or private, large or small, in Japan or overseas.

There is no limit to the number of potential recipients of the prize each year. All organisations that score the passing points or higher upon examination will be awarded the Deming Application Prize.

The Deming Application Prize Subcommittee examines and selects the candidates for the prize by means of a document examination and possible on-site examination.

After the Deming Prize Committee has determined the prizewinners, the winners' names are published and the reasons for receiving the prize are stated. The award ceremony takes place in mid-November

- **Quality Control Award for Operations Business Units**

The Saferpack web page (Saferpack 2005) states that the Quality Control Award for Operations Business Units is given to operations business units of companies that have achieved distinctive performance improvement through the application of quality control or management in the pursuit of TQM in a designated year.

While the Deming Application Prize is directed toward an entire company or a division of a company, the Quality Control Award for Operations Business Units accommodates an individual business unit, which is not eligible for the Deming Application Prize challenge.

Application and the examination processes are the same as for the Deming Application Prize and successful applicant operations business units receive the Certificate of Merit and a plaque at the award ceremony.

3.3.1.3 Fundamental Concepts and Criteria Utilised in Evaluating Companies

Because its initial purpose was to encourage the development of quality control activities in Japan, the Deming Prize was at first restricted to Japanese companies (Deming Institute 2005a). A strong interest in the Deming Application Prize by non-Japanese companies motivated the Deming Prize Committee to establish the *Deming Application Prize Administrative Regulation* in 1984 to allow overseas companies to apply for and receive the Deming Prize upon successfully passing the examination. In 1997, another change was made to enable overseas companies to apply for the Quality Control Award for Operations Business Units. However, if the number of applicants in any year exceeds the examination

capacity of the Deming Application Prize Subcommittee, due to schedule limitations, some of the applications may be carried forward to the next year or even later.

The Deming Application Prize and the Quality Control Award for Operations Business Units are open to overseas companies. However, the Deming Prize for Individuals is open only to Japanese candidates.

Applicant companies and divisions of companies competing for the Deming Prize must search for new approaches to quality management that will meet the needs of their business environment. They must develop effective quality management methods, establish the structures for implementation, and put the methods into practice.

The Deming Prize examination does not require applicants to conform to a model provided by the Deming Prize Committee. Rather, the applicants are expected to understand their current situation, establish their own themes and objectives, and improve and transform themselves company-wide. Not only the results achieved and the processes used, but also the effectiveness expected in the future are subjects for the examination.

To the best of their abilities, the examiners evaluate whether or not the themes established by the applicants were commensurate to their situation; whether or not their activities were suitable to their circumstances; and whether or not their activities are likely to achieve their higher objectives in the future.

The Deming Application Prize is given to an applicant company that effectively practises TQM suitable to its management principles, type of industry, and business scope. However, the following parameters are used for the examination to determine whether or not the applicant should be awarded the prize:

- Reflecting its management principles, type of industry, business scope, and business environment, the applicant has established challenging and customer-oriented business objectives and strategies under its clear management leadership.

- TQM has been implemented properly to achieve business objectives and strategies as mentioned above.
- As an outcome, outstanding results have been obtained for business objectives and strategies.

3.3.1.4   Summary of the Key Characteristics of the Award

According to the W. Edwards Deming Institute's official website (Deming 2005a) the Deming Prize, especially the Deming Application Prize that is given to companies, has exerted an immeasurable influence directly or indirectly on the development of quality control and quality management in Japan. Applicant companies and divisions of companies sought after new approaches to quality management that met the needs of their business environment in challenging for the Deming Prize. These organisations developed effective quality management methods, established the structures for implementation, and put the methods into practice.

Commonly, those who have challenged for the Prize share the feeling that they have had a valuable experience and that the management principle of achieving business success through quality improvement has really worked. Through witnessing the success of these organisations, many other companies have been inspired to begin their own quest for quality management. Learning from those who went before them, the new practitioners are convinced that quality management is an important key to their business success and that the challenge to attain the prize can provide an excellent opportunity to learn useful quality methodologies. Quality management has therefore spread to many organisations; its methods have evolved over the years, and have contributed to the advancement of these organisations' improvement activities.

The Deming Prize Committee views the examination process as an opportunity for 'mutual-development', rather than 'examination.' The applicants, however, still receive a comprehensive examination by a third party. Every factor such as the applicants' attitude toward executing TQM, their implementation status, and the resulting effects are taken into overall consideration. The applicants' responsibility

to identify and address issues allows quality methodologies to be further developed.

To date more than 160 companies have been awarded the Deming Application Prize. This prize has earned an internationally renowned reputation as a coveted quality award (Saferpack 2005).

3.3.2 The United States of America Malcolm Baldrige Quality Award

3.3.2.1 Introduction

The Baldrige National Quality Programme website (Baldrige 2005a), provides a comprehensive overview of the United States of America Malcolm Baldrige Quality Award. The following is a summary of the aspects most relevant to this research project.

In the early and mid-1980s, many industry and government leaders saw that a renewed emphasis on quality was no longer only an option for American companies but a necessity for doing business in an ever expanding, and more demanding, competitive world market. But many American businesses either did not believe quality mattered for them or did not know where to begin. The Baldrige Award was envisioned as a standard of excellence that would help American organisations achieve world-class quality

The Malcolm Baldrige National Quality Award in the United States of America was created by Public Law 100-107, (Baldrige 2005b) signed into law on August 20, 1987. The Award Program, responsive to the purposes of Public Law 100-107, led to the creation of a new public-private partnership. The U.S. Commerce Department's National Institute of Standards and Technology (NIST) manages the Baldrige National Quality Program in close cooperation with the private sector. Principal support for the program comes from the Foundation for the Malcolm Baldrige National Quality Award, established in 1988.

The Award is named after Malcolm Baldrige, who served as Secretary of Commerce from 1981 until his tragic death in a rodeo accident in 1987. His

managerial excellence contributed to long-term improvement in efficiency and effectiveness of government. The Findings and Purposes Section of Public Law 100-107 (Baldrige 2005b) states that a national quality award program of this kind in the United States would help improve quality and productivity by:

- helping to stimulate American companies to improve quality and productivity for the pride of recognition while obtaining a competitive edge through increased profits;
- recognising the achievements of those companies that improve the quality of their goods and services and providing an example to others;
- establishing guidelines and criteria that can be used by business, industrial, governmental, and other organisations in evaluating their own quality improvement efforts; and
- providing specific guidance for other American organisations that wish to learn how to manage for high quality by making available detailed information on how winning organisations were able to change their cultures and achieve eminence.

3.3.2.2 Categories of the Malcolm Baldrige National Quality Award

The U.S. Congress established the award program in 1987 to recognise U.S. organisations for their achievements in quality and performance and to raise awareness about the importance of quality and performance excellence as a competitive edge. The award is not given for specific products or services.

Unlike other national quality awards (see section 3.3.4.8) the Baldrige Award is not awarded for different levels of recognition but up to three awards may be given annually in each of the following eligibility categories (Baldrige 2005c):

- Manufacturing
- Service
- Small business
- Education
- Health care.

In October 2004, President Bush (Baldrige 2005h) signed into law the legislation that authorises the expansion of the Malcolm Baldrige National Quality Award Program to include non-profit and government organisations. The programme may begin to solicit applications for the award from non-profit organisations in 2006.

While the Baldrige Award and its recipients are the very visible centrepieces of the U.S. quality movement, a broader national quality programme has evolved around the award, which was responsible for making quality a national priority and disseminating best practices across the United States (Baldrige 2005h).

3.3.2.3   <u>Core Values and Fundamental Concepts.</u>

In the Guide "2005 - Criteria for Performance Excellence" (Baldrige 2005d:1-4), the National Institute of Standards and Technology states that criteria are used as the basis for organisational self-assessments, for making awards, and for giving feedback to applicants. These criteria are built upon the following set of interrelated core values and concepts:

- **Visionary Leadership**
  An organisation's senior leaders should set directions and create a customer focus, clear and visible values, and high expectations. The directions, values, and expectations should balance the needs of all stakeholders. As role models, leaders should ensure the creation of strategies, systems, and methods for achieving performance excellence, stimulating innovation, building knowledge and capabilities, and ensuring organisational sustainability.

- **Customer-Driven Excellence**
  Quality and performance are judged by an organisation's customers. Thus, an organisation must take into account all product and service features and characteristics and all modes of customer access that contribute value to its customers. Such behaviour leads to customer satisfaction and loyalty. Customer-driven excellence has both current and future

components: understanding today's customer desires and anticipating future customer desires and marketplace potential.

- **Organisational and Personal Learning**

  Achieving the highest levels of business performance requires a well-executed approach to organisational and personal learning. Organisational learning includes both continuous improvement of existing approaches and significant change, leading to new goals and approaches. Learning needs to be embedded in the way an organisation operates.

- **Valuing Employees and Partners**

  An organisation's success depends increasingly on the diverse backgrounds, knowledge, skills, creativity, and motivation of all its employees and partners. Valuing employees means committing to their satisfaction, development, and well-being. In some cases, joint education and training could offer a cost-effective method for employee development.

- **Agility**

  Success in globally competitive markets demands agility - a capacity for rapid change and flexibility. Businesses face ever-shorter cycles for the introduction of new/improved products and services, as well as for faster and more flexible responses to customers. Major improvements in response times often require simplification of work units and processes or the ability for rapid changeover from one process to another. Cross-trained and empowered employees are vital assets in such a demanding environment.

- **Focus on the Future**

  In today's competitive environment, creating a sustainable organisation requires understanding the short- and longer-term factors that affect a business and marketplace. Pursuit of sustainable growth and market leadership requires a strong future orientation and a willingness to make long-term commitments.

- **Managing for Innovation**

  Innovation means making meaningful change to improve an organisation's products, services, processes, and operations and to create new value for the organisation's stakeholders. Organisations should be led and managed so that innovation becomes part of the learning culture. Innovation should also be integrated into daily work.

- **Management by Fact**

  Organisations depend on the measurement and analysis of performance. Such measurements should derive from business needs and strategy, and they should provide critical data and information about key processes, outputs, and results.

- **Social Responsibility**

  An organisation's leaders should stress responsibilities to the public, ethical behaviour, and the need to practise good citizenship. Leaders should be role models for their organisation in focusing on business ethics and protection of public health, safety, and the environment. Protection of health, safety, and the environment should include an organisation's operations, as well as the life cycles of products and services.

- **Focus on Results and Creating Value**

  An organisation's performance measurements need to focus on key results. Results should be used to create value for key stakeholders—customers, employees, stockholders, suppliers and partners, the public, and the community. By creating value for key stakeholders, the organisation builds loyalty and contributes to growing the economy.

- **Systems Perspective**

  The Baldrige Criteria provide a systems perspective for managing an organisation and its key processes to achieve performance excellence. The seven Award Criteria and the Core Values form the building blocks and the integrating mechanism for the system. However, successful management of overall performance requires organisation-specific synthesis, alignment, and integration.

3.3.2.4   Excellence Framework and Assessment Criteria.

The Baldrige performance excellence criteria provide a framework that any organisation can use to improve overall performance. Seven categories make up the award criteria (Baldrige 2005d:13-26).

- **Leadership**
  Examines how senior executives guide and sustain the organisation. Also examined is the organisation's governance and how the organisation addresses its ethical, legal, and community responsibilities.

- **Strategic planning**
  Examines how the organisation develops strategic objectives and action plans. Also examined are how chosen strategic objectives and action plans are deployed and changed if circumstances require, and how progress is measured.

- **Customer and market focus (in education: student, stakeholder, and market focus)**
  Examines how the organisation determines requirements, expectations and preferences of customers and markets. It also examines how relationships with customers are built, determines the key factors that lead to customer acquisition, satisfaction, loyalty and retention, and to business expansion and sustainability.

- **Measurement, analysis, and knowledge management**
  Examines how an organisation selects, gathers, analyses, manages, and improves its data, information, and knowledge assets. It also examines how the organisation reviews its performance.

- **Human resource focus (in education: faculty and staff focus)**
  Examines how the organisation's work systems and employee learning and motivation enable employees to develop and utilise their full potential in alignment with the organisation's objectives, strategy, and action plans.

- **Process management**
  Examines the key aspects of the organisation's process management, including key products, service, and business processes for creating customer and organisational value and key support processes.

- **Business results (in education: organisational performance results)**
  Examines the organisation's performance and improvement in its key business areas. This will include product and service outcomes, customer satisfaction, financial and marketplace performance, human resource results, operational performance, and leadership and social responsibility.

A framework is provided that illustrates the integration of the categories or criteria as illustrated in figure 3.1.

Figure 3.1 Baldrige Criteria for Performance Excellence Framework
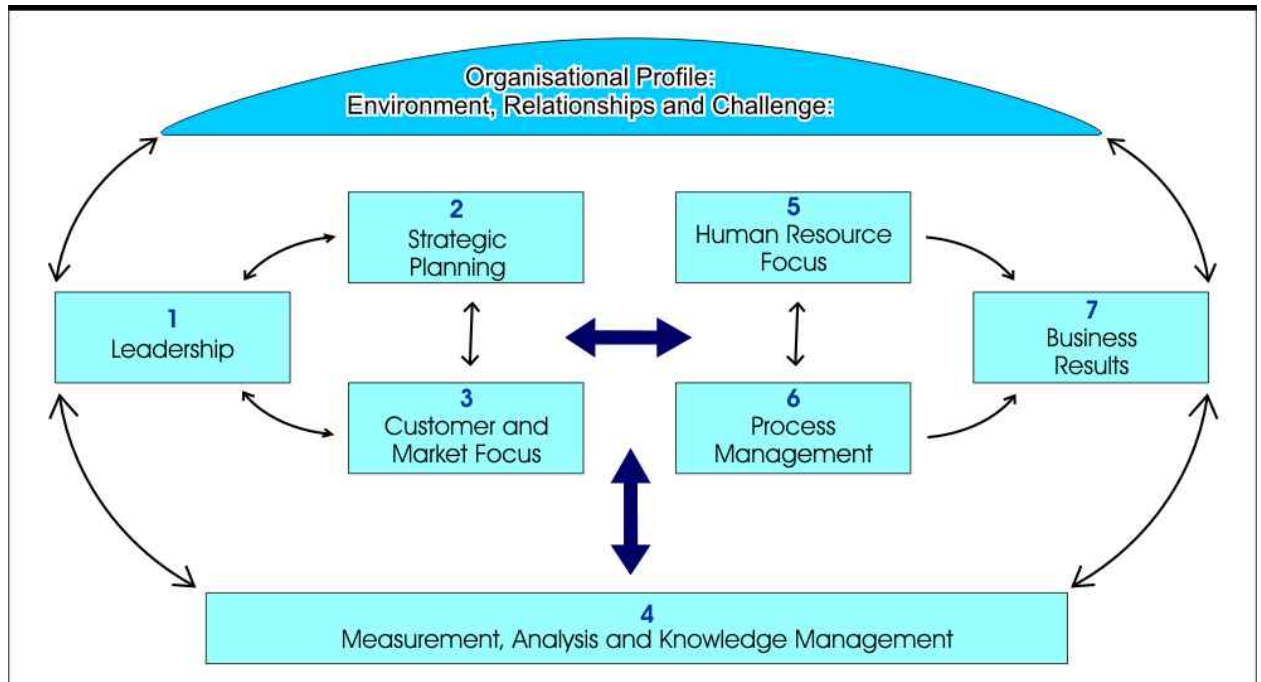
Source: Baldrige (2005d)

The framework has the following basic elements (Baldrige 2005d:4-5).

- **Organisational Profile**

  The Organisational Profile (top of figure) sets the context for the way an organisation operates. The environment, key working relationships, and strategic challenges serve as an overarching guide for an organisational performance management system.

- **System Operations**

  The system operations are composed of the six Baldrige Categories in the centre of the figure that define the operations and the results achieved.

  Leadership (Category 1), Strategic Planning (Category 2), and Customer and Market Focus (Category 3) represent the leadership triad. These categories are placed together to emphasise the importance of a leadership focus on strategy and customers. Senior leaders set organisational direction and seek future opportunities for the organisation.

  Human Resource Focus (Category 5), Process Management (Category 6), and Business Results (Category 7) represent the results triad. An organisation's employees and key processes accomplish the work of the organisation that yields the business results.

  All actions point toward Business Results - a composite of product and service, customer and market, financial, and internal operational performance results, including human resources, governance, and social responsibility results.

  The horizontal arrow in the centre of the framework links the leadership triad to the results triad, a linkage critical to organisational success. Furthermore, the arrow indicates the central relationship between Leadership (Category 1) and Business Results (Category 7). The two-headed arrows indicate the importance of feedback in an effective performance management system.

- **System Foundation**

  Measurement, Analysis, and Knowledge Management (Category 4) are critical to the effective management of an organisation and to a fact-based, knowledge-driven system for improving performance and competitiveness.

  Measurement, analysis, and knowledge management serve as a foundation for the performance management system.

- **Criteria Structure**

  The seven Criteria Categories shown in the figure are subdivided into Items and Areas to Address (Baldrige 2005d:5).
  - **Items.** There are 19 Items, each focusing on a major requirement.
  - **Areas to address**. Each item consists of one or more areas to address.

- **Key Characteristics of the Criteria**

  The following key characteristics of the criteria are also provided (ibid. 2005d:6).
  - *The criteria focus on business results* and the key areas of organisational performance such as product and service outcomes, customer-focused results, financial and market results, organisational effectiveness results and leadership and social responsibility results.
  - *The criteria are non-prescriptive and adaptable*. The criteria do not prescribe how the organisation should be structured, whether there must be departments for quality, planning, or that different units in the organisation should be managed in the same way. The focus is on results, not on procedures, tools, or organisational structure.
  - *The criteria support a systems perspective to maintaining organisation-wide goal alignment.* The systems perspective to goal alignment is embedded in the integrated structure of the Core Values and Concepts, the Organisational Profile, the Criteria, the Scoring

Guidelines, and the results-oriented, cause-effect linkages among the Criteria Items.

o **The criteria support goal-based diagnosis.** The Criteria and the Scoring Guidelines make up a two-part diagnostic (assessment) system. The Criteria are a set of 19 performance-oriented requirements. The Scoring Guidelines spell out the assessment dimensions— Process and Results—and the key factors used to assess each dimension. An assessment thus provides a profile of strengths and opportunities for improvement.

o **The criteria are revisited and adapted when necessary.** The Criteria for Performance Excellence continue to evolve to help business address a dynamic environment. Changes must therefore be made from time to time in order to improve the Baldrige self-assessment and external assessment. A primary consideration in the 2005 criteria revisions has been the important relationship between the Criteria Items and the Scoring Guidelines and the number of Areas to Address has been increased from 32 to 33.

3.3.2.5   Key Factors or Characteristics of the Award

In the postscript of their official document "2005 Criteria for Performance Excellence" (Baldrige 2005d), the National Institute of Standards and Technology states that the "Malcolm Baldrige National Quality Improvement Act of 1987," established a program that many credit with making quality a national priority and helping to revitalise the U.S. economy during the 1990s. More than 40 states and many countries, including Japan, have programs modelled after Baldrige. In particular, the Baldrige Criteria for Performance Excellence are widely used as an assessment and improvement tool. Impacts of the program have been far reaching:

- Since the Baldrige Program began in 1987 until 2004, there have been 999 applicants for the Malcolm Baldrige National Quality Award.
- During 2003, 58 Award recipients were selected across five categories: 24 manufacturing companies, 13 service companies,

> 14 small businesses, four education organisations, and three health care organisations.

- As of June 2004, there were 49 active state and local quality award programs in 41 states. All 49 programs are modeled to some degree after the Baldrige National Quality Award.
- From 1996 to 2003, 25 of the 34 Baldrige Award recipients were previous winners in state award programs.
- Since 1991, there have been nearly 8,000 applications for state and local quality awards.
- The Award recipients have presented their experiences at conferences to other organisations.

In a guide to prospective applicants (Baldrige 2005e:8-9), the National Institute of Standards and Technology states that many Baldrige Award applicants cite the feedback report as the most significant benefit of applying. When applying an organisation receives a detailed, individualised feedback report, a 50-page written assessment of the organisation's strengths and opportunities for improvement based on the Baldrige Award application. A team of leading experts, Baldrige Examiners who have both industry and sector experience and Category knowledge, write the feedback report. The report includes a synthesis of the most significant, crosscutting strengths and opportunities for improvement in the organisation's approaches and results and provides a broad overview of the Examiners' analyses. In surveys of the 2000, 2001, and 2002 Baldrige Award applicants, over 80% of respondents reported being satisfied or very satisfied with the relevance of the feedback report for continuous improvement and the value of the report relative to their investment.

The Baldrige National Quality Programme website (Baldrige 2005f) indicates that publicity by recipients of the Malcolm Baldrige National Quality Award is an important vehicle for achieving the Baldrige programme's goals of increasing public awareness of the need for a systems approach to improvement and sharing performance improvement strategies. When the Malcolm Baldrige National Quality Improvement Act was passed, the U.S. Congress singled out the role of publicity, especially through advertising by stating that an organisation to which an award is made under this section, and which agrees to help other American organisations

improve their quality management, may publicise its receipt of such award and use the award in its advertising.

One of the main purposes of the award is to pass on information about the recipient's performance excellence strategies that other organisations can tailor for their own needs. Representatives from the award recipients have willingly shared their organisations' performance strategies and methods with others. The Quest for Excellence Conferences provides an opportunity for in-depth learning about the best practices and results of the Baldrige Award recipients (Baldrige 2005g). Senior leaders and other representatives of the Award recipient organisations made presentations and answered questions about the seven categories of the Baldrige Criteria, their journey to performance excellence, and their lessons learned. Recipients are asked to participate in the award's annual conference and several co-sponsored regional conferences, to provide basic materials to those who request it on their organisation's performance strategies and methods, and to answer news media inquiries. For more than sixteen years, The Quest for Excellence conferences have provided a forum for the recipients of the Malcolm Baldrige National Quality Award to showcase their exceptional performance practices.

The education and health care categories were introduced in 1999. Since then, 83 applications have been submitted in the education category and 83 in the health care category (Baldrige 2005h). Any for-profit or not-for-profit public or private organisation that provides educational or health care services in the United States or its territories is eligible to apply for the award. That includes elementary and secondary schools and school districts; colleges, universities, and university systems; schools or colleges within a university; professional schools; community colleges; technical schools; and charter schools. In health care, it includes hospitals, HMOs, long-term-care facilities, health care practitioner offices, home health agencies, health insurance companies, and medical/dental laboratories.

As in the other three categories, applicants in the Education category must show achievements and improvements in the same seven areas. For the Education category customer and market focus is replaced by student, stakeholder, and

market focus, human resource focus is replaced by faculty and staff focus and results is replaced by organisational performance results (ibid. 2005h).

In their official booklet "2005 Education Criteria for Performance Excellence" (Baldrige 2005i), the National Institute of Standards and Technology who administers the Baldrige National Quality Awards, incorporates the Core Values and Concepts and builds upon the seven-part framework used in the Business Criteria, when providing the criteria that should be used to assess educational institutions. The rationale for the use of the same framework is that it is adaptable to the requirements of all organisations, including education organisations. However, this adaptation does not assume that these requirements are necessarily addressed in the same way. The adaptation for the education sector, then, is largely a translation of the language and basic concepts of business excellence to similarly important concepts in education excellence. A major practical benefit derived from using a common framework for all sectors of the economy is that it fosters cross-sector cooperation and sharing of best practices information.

3.3.3 The European Quality Award

3.3.3.1 Introduction

The official website of the European Foundation for Quality Management (EFQM 2003a) provides a comprehensive overview of the founding objectives and functions of this organisation.

The European Foundation for Quality Management (EFQM) is a membership based not-for-profit organisation founded in 1988 by the Presidents of 14 major European companies with the endorsement of the European Commission. The impetus for this powerful management network was the need to develop a European framework for quality improvement along the lines of the Malcolm Baldrige Model in the USA and the Deming Prize in Japan. Both these awards had demonstrably improved service and manufacturing quality in the organisations that used them. The European Model for Business Excellence - now called the EFQM Excellence Model - was introduced in 1991 as the framework for

organisational self-assessment and as the basis for judging entrants to the European Quality Award, which was awarded for the first time in 1992.

From the outset, EFQM has been driven by a vision of helping to create strong European organisations that practise the principles of TQM in the way they do business and in their relationships with their employees, shareholders, customers and communities in which they operate.

The EFQM has promoted the concept of partnership with similar National organisations in Europe to help promote sustainable excellence in European organisations. All of these National organisations have worked with the EFQM to develop the Fundamental Concepts of Excellence and to promote the EFQM Excellence Model.

Currently the EFQM membership had grown to more than 700 organisations based in more than 38 countries worldwide. The members are large, medium and small sized businesses in most European countries and most sectors of activity.

In addition to being the owner of the EFQM Excellence Model and managing The European Quality Award, the EFQM also provides a portfolio of services for its members by providing training courses, workshops, work groups and special projects on many different types of business and quality improvement disciplines, tools and techniques.

EFQM member companies comprise world known brands and its network also includes academic institutions, research institutes, management consultants and national business improvement associations.

3.3.3.2 Application Categories for the European Quality Awards

In the EFQM's brochure "European Quality Award Information for Applicants – 2002" (EFQM 2001:2-3) it is stated that the European Quality Award is Europe's most prestigious award for organisational excellence and is the top level of the EFQM Levels of Excellence. All organisations in Europe can apply and these

awards focus on recognising excellence and providing detailed, independent feedback to all applicants to help them on their continuing journey to excellence. Award assessors are all practicing senior managers or, in a few cases, academics who contribute their years of experience and judgement to provide valuable feedback and the evidence on which the different levels of recognition are based.

There are four levels of recognition available to applicants for the European Quality Award.

- European Quality Award winner
  The European Quality Award is presented annually to the organisation judged to be the best of the prizewinners in each of the following categories:
  - o Large Businesses and Business Units
  - o Operational Units of Companies
  - o Public Sector Organisations
  - o Small and Medium-sized Enterprises in two categories:
    - ➢ Independent
    - ➢ Subsidiaries of larger organisations

These award winners must however also meet all the requirements set annually by the award jurors. Award winners are exceptional organisations - they are European or global role models in their approaches and the results they achieve. Every award winner is entitled to retain the trophy for a full year and at the end of this time receive a smaller replica.

- European Quality Award Prize winner

Prizes are presented annually to the organisations that demonstrate excellence in the management of quality as their fundamental process for continuous improvement. Each year one or more prizes are presented in each of the categories mentioned above.

- <u>European Quality Award Finalist</u>

Each year the Award Jury will define a level above which applicants are declared to be finalists for the award. In any year several finalists may be declared in each category. Finalists are organisations that demonstrate a high degree of excellence in the management of quality as their fundamental process for continuous improvement and may be considered as role models in a number of areas.

- <u>Recognition for Excellence</u>

A new level of recognition, Recognised for Excellence, was introduced by the EFQM in 2001. There are two routes available to obtain this level of recognition. All applicants for the award that do not attain the level of finalist but yet achieve a consensus score above an appropriate level will be offered a site visit. If the site visit confirms a score in excess of 400 points the applicant will be recognised for excellence. The second route will involve direct application for the Recognised for Excellence level using a simplified application process to either the EFQM or a number of their National Partners.

Award winners, prizewinners and finalists are all recognised at the EFQM's annual forum, a high profile conference held in a different city each year.

Recognition for commitment to excellence is an important aspect for the EFQM and therefore the EFQM also launched the *EFQM Levels of Excellence* in late 2001 (EFQM 2001:5-7). This is a recognition scheme to celebrate achievement and encourage even greater effort in the future. The EFQM Levels of Excellence have been developed by popular demand to answer a clear and pressing need for a staged route towards the highest levels of excellence.

The following three strands of EFQM Levels of Excellence are based on the EFQM Excellence Model and organisations may apply to whichever strand they think is most appropriate for their level of maturity:

▪ <u>European Quality Award</u> (EQA) the most prestigious form of recognition.

▪ <u>Recognised for Excellence</u> recognises successful efforts to implement excellence and good practice. It requires a shorter application document and a modified assessment process when compared to the EQA. The programme will recognise organisations whose score is confirmed at 400 or more points.

▪ <u>Committed to Excellence</u> is designed for organisations at the beginning of their journey to excellence. The emphasis will be on helping organisations understand their current level of performance and to establish improvement priorities.

3.3.3.3 <u>The Fundamental Concepts of Excellence</u>

The European Foundation for Quality Management (EFQM) was created to promote world-class approaches to the management of European organisations that would lead to sustainable excellence. The EFQM Excellence Model was introduced as the primary framework for assessing and improving organisations, in order that they might achieve such a sustainable advantage (EFQM 2003b:3).

In the official EFQM Brochure "Introducing Excellence" (EFQM 2003c:6-8), the following fundamental concepts of excellence that were utilised to create the European Excellence Model, are discussed:

- <u>Results Orientation</u>

Excellence is achieving results that delight all the organisation's stakeholders.

In the fast changing environment that is today's world, excellent organisations are agile, flexible and responsive as stakeholder needs and expectations change, often frequently and quickly. Excellent organisations measure and anticipate the needs and expectations of their stakeholders, monitor their experiences and perceptions, and monitor and review the performance of other organisations.

- Customer Focus

Excellence is creating sustainable customer value.

Excellent organisations know and intimately understand their customers. They understand that customers are the final arbiters of product and service quality. They are responsive to those customers' present needs and expectations. They effectively anticipate what customers' future needs and expectations will be and act immediately in order to meet and where possible exceed them.

- Leadership and Constancy of Purpose

Excellence is visionary and inspirational leadership, coupled with constancy of purpose.

Excellent organisations have leaders who set and communicate a clear direction for their organisation. In doing so they unite and motivate other leaders to inspire their people. They establish values, ethics, culture and a governance structure for the organisation that provides a unique identity and attractiveness to stakeholders. Leaders at all levels within these organisations constantly drive and inspire others towards excellence and in so doing display both role model behaviour and performance.

- Management by Processes and Facts

Excellence is managing the organisation through a set of interdependent and interrelated systems, processes and facts.

Excellent organisations have an effective management system based upon, and designed to deliver, the needs and expectations of all stakeholders. The systematic implementation of the policies, strategies, objectives and plans of the organisation are enabled and assured through a clear and integrated set of processes. Decisions are based on factually reliable information.

- People Development and Involvement

Excellence is maximising the contribution of employees through their development and involvement.

Excellent organisations identify and understand the competencies needed, both now and in the future, in order to implement the organisation's policies, strategies, objectives and plans. They recruit and develop their people to match these competencies and actively and positively support them throughout. Personal development is promoted and supported allowing people to realise and unlock their full potential. They recognise the increasing importance of the intellectual capital of their people and use their knowledge for the benefit of the organisation.

- Continuous Learning, Innovation and Improvement

Excellence is challenging the status quo and effecting change by utilising learning to create innovation and improvement opportunities.

Excellent organisations continuously learn, both from their own activities and performance and from that of others. They rigorously benchmark, both internally and externally. They capture and share the knowledge of their people in order to maximise learning across and within the organisation. There is an openness to accept and use ideas from all stakeholders. Their people constantly challenge the status quo and seek opportunities for continuous innovation and improvement that add value.

- Partnership Development

Excellence is developing and maintaining value-adding partnerships.

Excellent organisations recognise that in the constantly changing and increasingly demanding world of today success may depend on the partnerships they develop. They seek out, and develop, partnerships with other organisations. These

partnerships enable them to deliver enhanced value to their stakeholders through optimising core competencies.

- Corporate Social Responsibility

Excellence is exceeding the minimum regulatory framework in which the organisation operates and to strive to understand and respond to the expectations of their stakeholders in society.

Excellent organisations adopt a highly ethical approach by being transparent and accountable to their stakeholders for their performance as a responsible organisation. They give consideration to, and actively promote, social responsibility and ecological sustainability both now and for the future.

3.3.3.4   The EFQM Excellence Model and Assessment Criteria

The EFQM brochure (EFQM 2003c:4-5) provides a brief description of the EFQM Excellence Model and also outlines how organisations can use the model and the process of self-assessment to improve performance. The EFQM Excellence Model is flexible and can be applied to organisations large and small, in the public as well as the private sector.

The EFQM Excellence Model is a non-prescriptive framework based on nine criteria, which can be used to assess an organisation's progress towards excellence. The Model, as depicted in figure 3.2, has the following key features:

Excellent results with respect to Performance, Customers, People and Society that are achieved through Leadership driving Policy and Strategy, that is delivered through People, Partnerships and Resources and Processes.

Figure 3.2   The EFQM Excellence Model
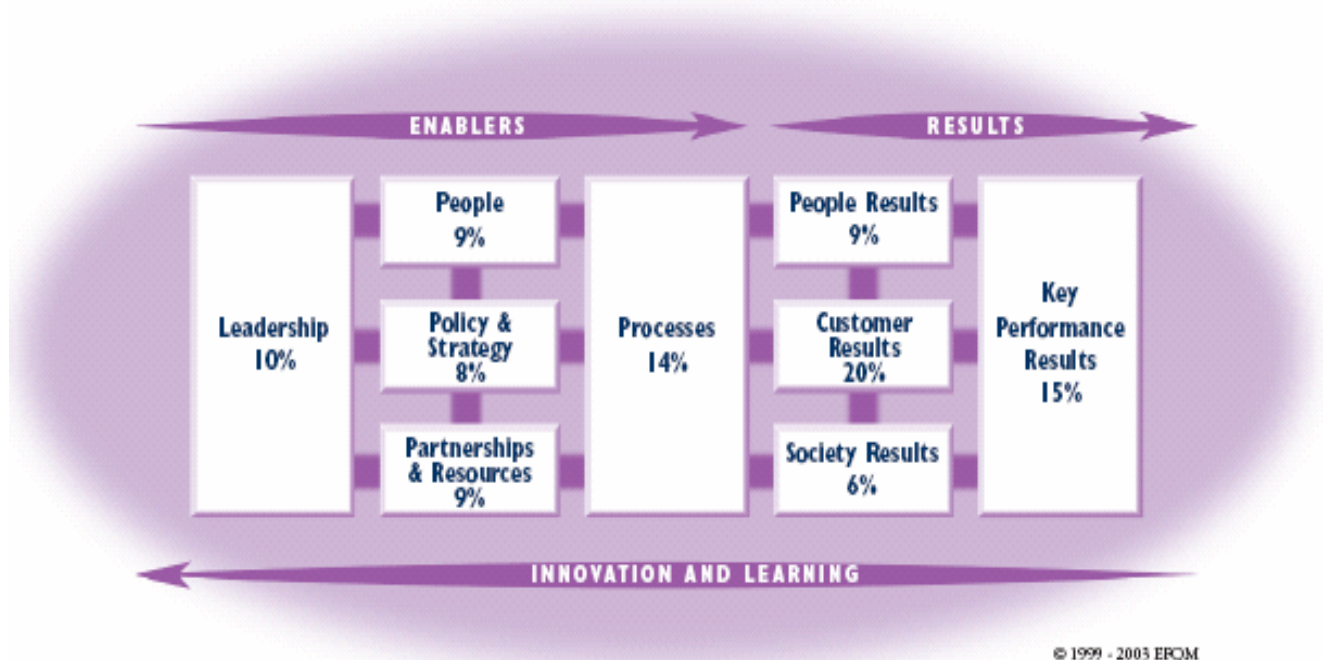
Source: EFQM (2003c:12)

The arrows emphasise the dynamic nature of the model. They show how innovation and learning help to improve enablers, which in turn lead to improved results. For convenience, the terms 'Enablers' and 'Results' are used to designate two categories of criteria. Enabler criteria are concerned with how the organisation undertakes key activities while Results criteria are concerned with what results are being achieved.

At the heart of the Model lies the 'RADAR' logic. The elements of RADAR are Results, Approach, Deployment, Assessment and Review. The elements of Approach, Deployment, Assessment and Review are used when assessing 'Enabler' criteria and the Results element is used when assessing 'Results' criteria.

The percentages shown are those used for assessing applications for the European Quality Award. For the purpose of meaningful assessment for the award, a relative value or weight must be ascribed to the nine criteria within the

EFQM Excellence Model. The figures in the model show the maximum number of points that may be given to each of the criteria and the equivalent percentage weights. These figures are unchanged from previous years and were the outcome of a consultation exercise involving EFQM members and many other European institutions. From time to time EFQM will conduct a survey to check that the weights accorded to criteria have the support of users (EFQM 2001:19).

Organisations practising self-assessment may use the percentages shown but they may also select percentages more appropriate to the particular features of their own organisation. Furthermore, some organisations prefer not to 'score' their internal self-assessment but to concentrate on the 'strengths' and 'improvements' that are highlighted (EFQM 2003c:12).

3.3.3.5 Key Characteristics of the Model Criteria

In the official EFQM Brochure "Introducing Excellence" (EFQM 2003c:13-15), the nine model criteria and their respective sub-criteria are discussed. The following is an adapted summary of the text:

- Leadership (Criterion 1)

Excellent Leaders develop and facilitate the achievement of the mission and vision. They develop organisational values and systems required for sustainable success and implement these via their actions and behaviours. During periods of change they retain a constancy of purpose. Where required, such leaders are able to change the direction of the organisation and inspire others to follow. Leaders must therefore:

- o develop the mission, vision, values and ethics and are role models of a culture of excellence (Sub-criterion 1a)
- o be personally involved in ensuring that the organisation's management system is developed, implemented and continuously improved (Sub-criterion 1b)
- o interact with customers, partners and representatives of society (Sub-criterion 1c)

- o reinforce a culture of excellence with the organisation's people (Sub-criterion 1d) and
- o identify and champion organisational change (Sub-criterion 1e).

- **Policy And Strategy (Criterion 2)**

Excellent organisations implement their mission and vision by developing a stakeholder focused strategy that takes account of the market and sector in which it operates. Policies, plans, objectives, and processes are developed and deployed to deliver the strategy.

- o Policy and Strategy are based on the present and future needs and expectations of stakeholders (Sub-criterion 2a).
- o Policy and Strategy are based on information from performance measurement, research, learning and external related activities (Sub-criterion 2b).
- o Policy and Strategy are developed, reviewed and updated (Sub-criterion 2c).
- o Policy and Strategy are communicated and deployed through a framework of key processes (Sub-criterion 2d).

- **People (Criterion 3)**

Excellent organisations manage, develop and release the full potential of their people at an individual, team-based and organisational level. They promote fairness and equality and involve and empower their people. They care for, communicate, reward and recognise, in a way that motivates staff and builds commitment to using their skills and knowledge for the benefit of the organisation.

- o People resources are planned, managed and improved (Sub-criterion 3a).
- o People's knowledge and competencies are identified, developed and sustained (Sub-criterion 3b).
- o People are involved and empowered (Sub-criterion 3c).
- o People and the organisation have a dialogue (Sub-criterion 3d).
- o People are rewarded, recognised and cared for (Sub-criterion 3e).

- Partnerships And Resources (Criterion 4)

Excellent organisations plan and manage external partnerships, suppliers and internal resources in order to support policy and strategy and the effective operation of processes. During planning and whilst managing partnerships and resources they balance the current and future needs of the organisation, the community and the environment.

- o External partnerships are managed (Sub-criterion 4a).
- o Finances are managed (Sub-criterion 4b).
- o Buildings, equipment and materials are managed (Sub-criterion 4c).
- o Technology is managed (Sub-criterion 4d).
- o Information and knowledge are managed (Sub-criterion 4e).

- Processes (Criterion 5)

Excellent organisations design, manage and improve processes in order to fully satisfy, and generate increasing value for, customers and other stakeholders.

- o Processes are systematically designed and managed (Sub-criterion 5a).
- o Processes are improved, as needed, using innovation in order to fully satisfy and generate increasing value for customers and other stakeholders (Sub-criterion 5b).
- o Products and services are designed and developed, based on customer needs and expectations (Sub-criterion 5c).
- o Products and services are produced, delivered and serviced (Sub-criterion 5d).
- o Customer relationships are managed and enhanced (Sub-criterion 5e).

- Customer Results (Criterion 6)

Excellent organisations comprehensively measure and achieve outstanding results with respect to their customers.

  o Perception Measures (Sub-criterion 6a).
  o Performance Indicators (Sub-criterion 6b).

- People Results (Criterion 7)

Excellent organisations comprehensively measure and achieve outstanding results with respect to their people.

  o Perception Measures (Sub-criterion 7a).
  o Performance Indicators (Sub-criterion 7b).

- Society Results (Criterion 8)

Excellent organisations comprehensively measure and achieve outstanding results with respect to society.

  o Perception Measures (Sub-criterion 8a).
  o Performance Indicators (Sub-criterion 8b).

- Key Performance Results (Criterion 9)

Excellent organisations comprehensively measure and achieve outstanding results with respect to the key elements of their policy and strategy.

  o Key Performance Outcomes (Sub-criterion 9a).
  o Key Performance Indicators (Sub-criterion 9b).

3.3.3.6 Key Factors or Characteristics of the Award

To help guide an organisation to improve its performance, the EFQM launched the EFQM Excellence Model and Quality Awards in 1991 as already described. This Model, which is the application of the fundamental concepts reflected in a structured management system, is now being used by many organisations across Europe and beyond. For an organisation to maximise the benefits of adopting the

EFQM Excellence Model it, however, first has to confirm whether it accepts the fundamental concepts as essentials for achieving excellence (EFQM 2003b:9).

The Model provides organisations with a common management language and tool, which could facilitate the sharing of 'good practice' across different organisations and sectors throughout Europe (EFQM 2003b:9).
.
Excellence is not only demonstrated by or limited to the financial results, which are used to demonstrate the outcome of past performance, but there should be evidence that includes results from other stakeholders that serve as leading indicators of future financial performance. These indicators include: measured excellence in customer satisfaction and loyalty; people motivation and capability; and the satisfaction of the wider community. To sustain results an organisation must demonstrate that all actions and activities are soundly based, systematic, and continuously reviewed and improved (EFQM 2003b:9).

The EFQM works in partnership with many national organisations in Europe and licenses a number of organisations to deliver training courses related to the EFQM Excellence Model. They also organise a number of events throughout Europe related to the Excellence Model and provide a portfolio of services for its members (EFQM 2003b:10).
.
One of the major advantages of applying for the Quality Award remains the provision of a detailed, independent feedback to all the applicants to help them on their continuing journey to excellence (EFQM 2001:8).

The EFQM recommends the adoption of the process of a self-assessment strategy for improving performance and states that if applied rigorously, self-assessment will help organisations, large and small, in the private and public sectors, work more effectively. A comprehensive, systematic and regular review of an organisation's activities and results referenced against the EFQM Excellence Model, allows an organisation to discern clearly its strengths and areas in which improvements can be made (EFQM 2003c:9).

The EFQM claims that organisations using the EFQM Excellence Model for self-assessment have found that the exercise results in a wide range of benefits as it provides a structured, fact based approach to identifying an organisation's strengths and areas for improvement. It also educates people on the fundamental concepts and framework for managing performance (EFQM 2003c:9).

3.3.4 Other International Quality Awards

3.3.4.1 Preface

In order to determine the significance and impact of quality and excellence models as frameworks for self-assessment and continuous performance improvement, a broad overview of other international quality awards will enhance the understanding of the background and rationale for utilising the SAEM as internationally accepted framework for the assessment of performance.

With the success of the Deming Prize, the Malcolm Baldrige National Quality Award, and the European Quality Award, many other countries have developed or are busy developing their own National Quality Award Programs (NQAs). While many countries have used these internationally accepted models in developing their award schemes, others have evolved their own evaluation criteria and systems taking socio-cultural backgrounds in view. Today, more than 70 countries in the Americas, Africa, the Middle East, Asia and Australasia have similar award schemes. Among the Asian Productivity Organisation (APO) member countries alone, some 13 countries have introduced quality award schemes. This testifies to the increased global interest in the promotion of such awards at the national level (APO 2001).

Unlike the European Quality Award that is a regional program that involved 16 countries by 2000, and the Deming Application Prize for Overseas Companies, most other awards are national awards focussed on improving the quality and competitiveness of companies within a specific nation.

3.3.4.2   <u>Common Objectives.</u>

The quality award programs, their models and their criteria have several objectives in common. Each program emphasises continuous analysis and improvement and, different from the Deming Prize (which is mainly concerned with quality control for product manufacturers), focuses on organisational quality management. Overall, the programs exemplify customer driven quality through streamlined processes, product design, leadership, human resource development and customer focused strategic plans (Vokurka et al. 2000:44).

3.3.4.3   <u>National Quality Award Frameworks and Assessment Criteria</u>

Each award is based on a model of total quality management. Ghobadian and Woo (1996:11) state that these models do not focus solely on either product or service perfection or traditional quality control methods, but consider a wide range of management activities, behaviour and processes, which influence the quality of the final offerings. The models underpinning the awards implicitly recognise that quality of the final offerings is the end result of integrated processes and employees' efforts.

Most national quality awards attempt to model TQM by identifying its constituent concepts and parts. Quality models are thus provided that usually consist of weighted criteria and criteria parts that form the basis for organisational assessment and improvement programs. These criteria typically include management style and attitudes, design and implementation of processes, customer focus and the end results.

The national award programs also vary in terms of the relative weights of the awards' enabler categories and the results categories. The weight of the results category/ies among the Asian Productivity Organisation (APO) members alone ranges from a low of 200 to a high of 580 maximum total points (APO 2001).

Most NQAs adopted elements from one or more existing models. Table 3.1 illustrates how elements of the three main quality awards feature in different NQAs or how these NQA' basically or fully apply the models and criteria of these existing

awards. The fundamental concepts, philosophies and criteria used by especially the Baldrige and European Quality Awards are found in the majority of NQAs (Tan 2002:168). The main benefit of adopting from a reputable model is that it will ensure that the own country's award scheme will be accepted as being of an international standard.

Table 3.1   NQAs Adopted From One or More Existing Models

		Model adopted		
		DP	**MBNQA**	**EQA**
ArgNQA	Argentina	Features	Features	Features
AruQA	Aruba		Basic	
CNQA	Chile	Features	Features	Features
EgyQA	Egypt		Basic	
HKMAQA	Hong Kong		Basic	
JQA	Japan		Basic	Features
MNQA	Mauritius		Full	
NIQA	Israel		Basic	
PMQA	Malaysia	Features	Features	
PQA	Philippines		Basic	
SQA	Singapore	Features	Basic	Features
SAEA	South Africa		Features	Basic
SLNQA	Sri Lanka		Full	
TQA	Thailand		Basic	

Notes: Basic = basic model of similar construction and concepts; Full = full adoption (with little or no modification of criteria); Features = only selected features adopted

Adapted from Tan (2002:168)

3.3.4.4 Government and Private Sector Support.

Just like the Malcolm Baldrige Award, the Argentinean Quality award was established by law, demonstrating the determination of the government to improving the quality standards of the companies in Argentina. The foundation administering the award in Aruba is supported entirely by government funds (Tan 2002:168), while the Australian Quality Award provides a model certified by the Australian Quality Council, an organisation recognised by the Commonwealth Government of Australia as the top organisation for quality management (Vokurka et al. 2000:43). In addition, most of the NQAs receive active support and participation from the private sector in terms of finance and expertise.

3.3.4.5 Cultural Influences

Although the frameworks of different NQAs reveal many similarities, they differ in terms of emphasis on the various criteria. The economic and social development of a country affects how the framework criteria of an NQA are initially set up and subsequently modified.

In underdeveloped and developing countries where few companies practise quality management, NQAs generally place great emphasis on the leadership system. In contrast, there is usually less emphasis placed on the Impact on society criterion, perhaps because this does not address a company's immediate competitiveness. In developed countries such as those utilising the European Quality Awards, a higher weighting is placed on both the Impact on Society and People Management criteria (Tan 2002:166).

A NQA that is established in a Western country will probably not suit a Middle East or Asian country due to the cultural differences. An example is the NIQA of Israel, whose basic model is the MBNQA but the NIQA focuses on teamwork, which is not a main feature of the MBNQA. This may be due to the Israeli culture that emphasises group harmony, unity, and loyalty (Tan 2002:169).

3.3.4.6 Evaluation of Applicants

All of the quality awards aggressively evaluate their applicants, with judges and assessors trained in the awards' programs, criteria and models. Most of the national award programs use the three evaluation dimensions of the Baldrige Award: Approach, Deployment, and Results. Australia and Fiji have a fourth evaluation dimension, Improvement, which the Baldrige Award subsumes under the Approach dimension (APO 2001).

3.3.4.7 Customising Criteria for Public Sector

The national award programs vary in terms of the degree to which the award body customises the award criteria to the different award eligibility categories (sectors). There are a fairly even number of award programs that customise their criteria by

sector (e.g., private vs. public sectors) and those programmes that use a single criteria booklet for all sectors (APO 2001).

3.3.4.8   Levels of Recognition

Most of the national award programs have multiple levels of recognition. Tan (2002:169-170) states that some NQAs give recognition only to companies that have achieved excellent performance in order to identify them as role models for other organisations to follow. Other NQAs provide several levels of recognition for companies at different stages of their quality improvement effort. For example, the Chilean CNQA gives a quality distinction to organisations that have demonstrated significant advances in their quality processes. The quality awards in Aruba and Egypt give three levels of recognition (gold, silver, and bronze), whereas the Australians (ABEA) provide five levels of recognition for varying degrees of business excellence attained through quality management (Tan 2002:170).

3.3.4.9   The Advantage of Receiving Feedback

An important feature of most award processes is the feedback report in order to identify areas for applicants to consider when improving their quality systems. An interesting point to note is that the CNQA in Chile also provides a non-competitive category for companies that are mainly interested in receiving an evaluation report on their strengths and weaknesses of the quality management system. This is a good alternative for companies who are keen to get an external review of their progress, but are not interested in applying for the award (Tan 2002:169).

3.3.4.10   International Acceptance

In a global economy all National Quality Awards search for internationally accepted standards and practices. While the localisation and culturalisation of an NQA model is important, international aspects cannot be ignored. For example, in the formulation of Singapore's national quality strategy, two of the initiatives were to ensure that the quality systems developed are in line with international standards, and to secure overseas recognition of Singapore's quality capabilities (Tan 2002:166-167). For this reason most new NQAs are based on or feature

aspects of at least one of the Deming Prize, Malcolm Baldrige Award or European Quality Award as was illustrated in Table 3.1.

3.3.4.11   The Importance of Small and Medium Enterprises (SMEs)

When the major NQAs of the world started, their focus had very much been on the larger companies. Over time, however, these NQAs would focus more on SMEs as they were becoming increasingly crucial to national competitiveness and the job market. Tan (2002:168-169) states that in most countries SMEs account for a large number of the produce and indicates how the National quality awards in Europe, Egypt, Australia, Hong Kong and Chile modified criteria and categories to enable SMEs to participate in self-assessment and applying for awards. Today most NQAs provide for both large and smaller enterprises to share in the benefits of the awards.

3.3.4.12   The Review of National Quality Awards

Award administrators of all of the awards state that they periodically review and update award criteria in order to represent the most current understanding of organisational quality practice and improvement. With the national and regional quality awards being periodically reviewed and updated, administrators of different NQAs benchmark best practices and implement improvements observed in other models or criteria. This will result in further similarities between their models and criteria. (Vokurka et al. 2000:49) believe that as processes evolve, a strategic model for quality and organisational performance assessment will emerge.

3.3.4.13   Conclusion

Each National Quality Award has its unique characteristics. However, they all attempt to improve quality management practices and therefore they all share a set of fundamental philosophies, focus attention on quality and facilitate a better understanding of the underlying quality issues.

The NQA's do not only present organisations the opportunity to apply for awards but more so provide organisations with an implementable TQM model which

supply organisations with a means to measure their position against a set of internationally accepted criteria.

When South Africa joined the NQA movement in 1997 in the establishment of the South African Excellence Awards (SAEA), business organisations stressed that they would only support an award system that had international standing so as to meet international competitive challenges (SAEF 2001b:A-1). After considerable consultation throughout South Africa and abroad, with organisations already using either the EFQM or Baldrige systems, it became clear that the two systems are now conceptually so close that the differences were relatively minor. After discussions with potential users and stakeholders, a decision was made to merge the two internationally recognised systems into one South African Excellence Model which better represented the South African needs and also avoid having two competitive systems in the country (SAEF 2001b:A-1). The SAEF therefore acknowledges both the European Foundation for Quality Management as well as the National Institute of Standards and Technology that administers the Malcolm Baldrige National Quality Award for their assistance, encouragement and permission to use some of their documentation (SAEF 2001c:5).

3.4   THE SOUTH AFRICAN EXCELLENCE AWARD

3.4.1   Introduction

In 1990 a group of concerned organisations in South Africa met under the chairmanship and patronage of the South African Bureau of Standards to discuss quality related challenges in South Africa. One of the outcomes was the establishment of the South African Quality Institute (SAQI) as a non-profit Section 21 company, with the prime objectives to unify the various quality efforts in the country, promote the use of quality in all walks of life as a critical success factor and encourage and promote the successes of quality with a National Quality Awards programme (SAEF 2001b:A-1).

During the South African Quality Institute's first attempt to institute a fully South African National Quality Award, some of the key issues that were established included that:

- organised business would support a national awards system provided that it had international standing and therefore supported their competitiveness and marketing efforts;
- support for both the European Foundation for Quality Management Award and the Malcolm Baldrige National Quality Award of the United States of America was growing in South Africa; and
- the pressures on an economy that was opening up to exports and international competition pointed to the urgent need to meet the international competitive challenge (SAEF 2001b:A-1).

The South African Excellence Foundation (SAEF) was established when the task of developing and administering a National Quality Award, with its growing demand for a self-assessment option, was judged to be of such magnitude that a separate focused body would need to be set up to manage the process (SAEF 2001b:A-1).

The main objectives of the South African Excellence Foundation (SAEF), as captured in the SAEF Memorandum of Association, read as follows:

- SAEF provides a process framework and direction to create a culture of organisational excellence throughout South Africa to enhance overall competitiveness and promote the well-being (quality of life) of all its citizens.
- SAEF could provide support to the rest of Africa to promote a culture of organisational performance excellence (SAEF 2006).

In the establishment of the South African Excellence Awards (SAEA), business organisations stressed that they would support an award system that had international standing so as to meet international competitive challenges (SAEF 2001b:A-1). When 12 organisations therefore founded the SAEF on 17 January 1997, their aim was to ensure South Africa's competitiveness through the development and promotion of sound organisational practices based on TQM (ibid:3-2). The South African Excellence Award was launched in 1997 and the first Awards event took place in 1998 (ibid:3-3). In taking this step, South Africa has joined the growing number of countries worldwide striving to entrench a philosophy of performance excellence in both the public and private sectors (see section 3.3.4.7).

SAEF is a member of the Global Excellence Model Council and is allied to its international counterparts such as the Baldrige National Quality Program, the European Foundation for Quality Management (EFQM), Business Excellence Australia, the Japan Quality Program and the Singapore Quality Award and the SA Excellence Model was developed by using the Baldrige Model (USA) and the EFQM Model (Europe) as the point of departure (SAEF 2006).

3.4.2   Application Categories or Awards

While self-assessment is central to the Foundation's philosophy, it has also introduced an Award System to recognise outstanding achievements in three different categories as indicated in figure 3.3. Excellence Awards, Prizes and Certificates are presented to organisations that enter for the Award and demonstrate outstanding achievement in the management of business or organisation excellence as their fundamental process for continuous improvement (SAEF 2001a:42). Each year Awards, Prizes and Certificates are awarded in the following sectors:

- Business Sector
- Defence Industry Sector
- Small and Medium Size Enterprises (SMEs) Sector
- Public Service / Central Government Sector
- Public Service / Provincial Government Sector
- Local Government Sector

Awards, Prizes and Certificates are presented to the organisations judged to be the best in each sector and level. The Awards, Prizes and Certificates could be presented for each of the sectors and levels of participation (see Figure 3.3). Four different sector-specific sets of "*Criteria for Performance Excellence"* are available from the SAEF for Business, Local Governments, Central and Provincial Governments and Small and Medium Enterprises (SAEF 2001b:3-4).

Figure 3.3   SAEF Awards, Prizes and Certificates: Levels and Sectors of Participation

Levels:	Private Sector:			Public Sector		
	Business	Defence	SME'S	Central	Provincial	Local
Level 1 Excellence Award • 80 page Application	☆	☆	☆	☆	☆	☆
Level 2 Excellence Prize • 45 page Application	☆	☆	☆	☆	☆	☆
Level 3 Excellence Certificate • 15 page Application	☆	☆	☆	☆	☆	☆

Source: SAEF (2001a:42)

3.4.3   Fundamental Concepts that Underpin the South African Excellence Model

Although they may differ slightly, quality models worldwide are based on fundamental concepts (cf Baldrige 2005d; EFQM 2003c:6-8). These values and concepts are embedded beliefs and behaviours found in high-performing organisations. The concepts could also change as excellent organisations develop and improve. The South African Excellence Foundation (SAEF 2001d:11-12) lists the fundamental concepts that underpin the South African Excellence Model (SAEM). The following is an adapted summary of this text:

- **Leadership and Consistency of Purpose**

Leaders develop and enrich the organisation's culture. They inspire the effective and efficient use of the resources and efforts of the organisation towards excellence. Policy and strategy are deployed in a structured and systematic way across the whole organisation and all activities are thus aligned. The behaviour of the organisation's people is consistent with the organisation's vision, values, policy and strategy.

- **People Development, Involvement and Satisfaction**

People are defined as all the individuals employed by the organisation including full-time, part-time, temporary and contract workers. The full potential of people is released through shared values and a culture of trust and empowerment. There is widespread involvement and communication and this is supported by opportunities to learn and develop skills. Satisfaction of people is monitored and continually improved.

- **Customer Focus**

A customer is defined as all customers in the chain of distribution of its products and services. The customer is the final arbiter of product and service quality. Customer needs, requirements, expectations and perception of value must be understood. Customer satisfaction is measured and analysed, as are the issues that influence loyalty.

- **Supplier Partnership**

A supplier is defined as any person or organisation providing any product or service to the organisation. Supplier partnerships are built on trust and appropriate integration, generating improvement and value both for customer and supplier.

- **Processes and Facts**

  A process is defined as a sequence of steps, which add value by providing required outputs from a variety of inputs. Activities are systematically managed in process terms. Processes have owners, are understood and there are prevention-based improvement activities within the daily work of everyone. Facts, measurement and information are the basis for management efforts to maintain and improve standards.

- **Continuous Improvement and Innovation**

  There is a culture of continuous improvement. Continuous learning is the basis of becoming better with each cycle of daily work. Original thinking and innovation are encouraged. Benchmarking is used to support innovation and improvement.

- **Public Responsibility**

  Public is defined as all who are, or believe they are, impacted by the organisation, its services, projects and processes. The organisation and its people adopt an ethical and environmentally responsible approach to all operations and strive to exceed the regulatory and legal requirements related to their operations.

- **Results Orientation**

  Sustainable success depends on satisfaction of the interest of stakeholders, customers, suppliers, the people employed, those with a financial or other interest in the organisation, as well as society in general.

In section 3.4.7 the fundamental concepts that underpin the South African Excellence Model are compared with those of the major international quality awards.

3.4.4   The South African Excellence Model as Underlying Framework and its Assessment Criteria

Work to develop a South African National Excellence Model and Award that took full account of South African thinking and culture, commenced on 17 January 1997 (SAEF 2001b:3-2).

The model provides a non-prescriptive framework for management education, self-assessment and continuous improvement for all organisations, large and small, public or private, service or manufacturing. The SAEM is a powerful diagnostic self-assessment tool that allows organisations to identify their strengths and areas for improvement, and to score their performance against internationally recognised criteria for performance excellence (SAEF 2006).

After considerable consultation throughout South Africa and abroad, with organisations already using either the EFQM or Baldrige systems, it became clear that the two systems are now conceptually so close that the differences were relatively minor. After discussions with potential users and stakeholders, a decision was made to merge the two internationally recognised systems into one South African Excellence Model which better represented the South African needs and also avoid having two competitive systems in the country (SAEF 2001b:A-1).

The SAEF acknowledges both the European Foundation for Quality Management as well as the National Institute of Standards and Technology that administers the Baldrige National Quality Award for their assistance, encouragement and permission to use some of their documentation (SAEF 2001c:5). Two additional criteria, Customer and Market Focus as well as Supplier and Partnership Performance are, however, unique to the SAEF Model (SAEF 2001b:3-9).

Although each organisation is unique, this model provides a generic framework of criteria that can be applied widely to any organisation or part of an organisation. The SAEF Model is based on the criteria and premise illustrated in figure 3.4.

Figure 3.4   South African Excellence Model: Criteria and Premise
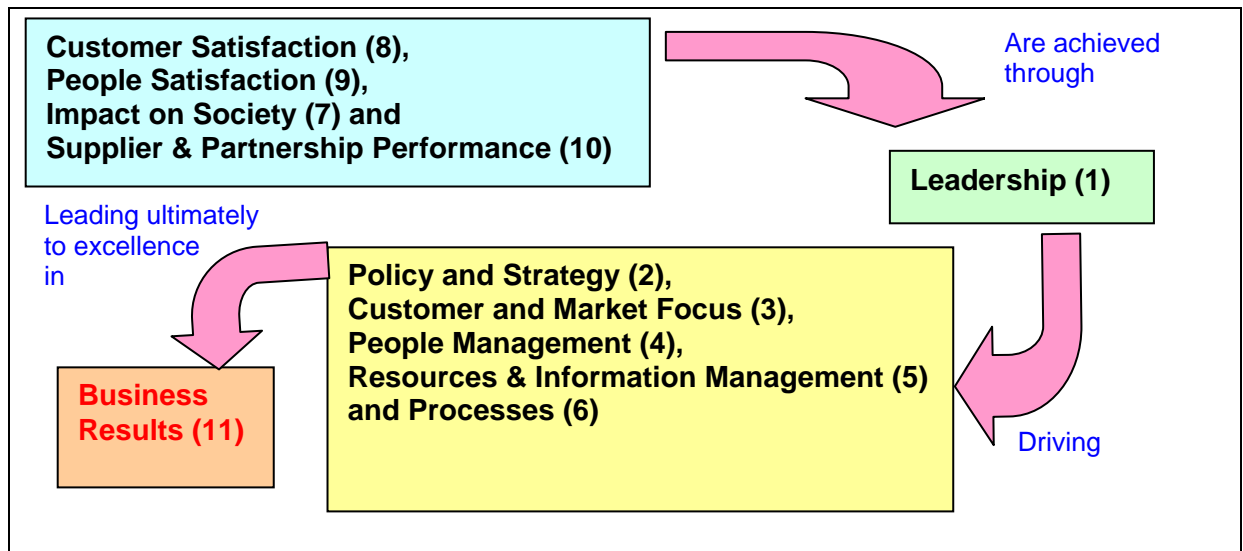
Adapted from SAEF (2001d:12)

The following criteria are assessed to determine the Performance Excellence of an organisation:

- **ENABLING CRITERIA**

    1. **Leadership** (100 points or 10%).

        How the behaviour and the actions of the executive team and all other leaders inspire, support and promote a culture of Performance Excellence.

    2. **Policy and Strategy** (70 points or 7%).

        How the organisation formulates, deploys, reviews and turns policy and strategy into plans and actions.

    3. **Customer and Market Focus** (60 points or 6%)

        How the organisation determines the needs, requirements and expectations; enhances relationships and determines satisfaction of customers and markets.

4.   **People Management** (90 points or 9%)

How the organisation develops and releases the full potential of its people.

5.   **Resources and Information Management** (60 points or 6%)

How the organisation manages and uses resources and information effectively and efficiently.

6.   **Processes** (120 points or 12%)

How the organisation identifies, manages, reviews and improves its processes.

- **RESULTS CRITERIA**

7.   **Impact on Society** (60 points or 6%)

What the organisation is achieving in satisfying the needs and the expectations of the local, national and international community at large (as appropriate).

8.   **Customer Satisfaction** (170 points or 17%)

What the organisation is achieving in relation to the satisfaction of its external customers.

9.   **People Satisfaction** (90 points or 9%)

What the organisation is achieving in relation to the satisfaction of its people.

10.   **Supplier and Partnership Performance** (30 points or 3%)

What the organisation is achieving in relation to the management of supplier and partnering processes.

11.   **Business Results** (150 points or 15%)

What the organisation is achieving in relation to its planned business objectives and in satisfying the needs and expectations of

everyone with a financial interest or other stake in the organisation (SAEF 2001a:12-13).

When assessing the eleven criteria of the SAEM each criterion consists of a number of criterion parts, which include various optional areas to address.

The SAEM Criteria can be structured or organised as follows:

11 CRITERIA		
	41 Criterion Parts	
		± 350 Optional Areas to Address
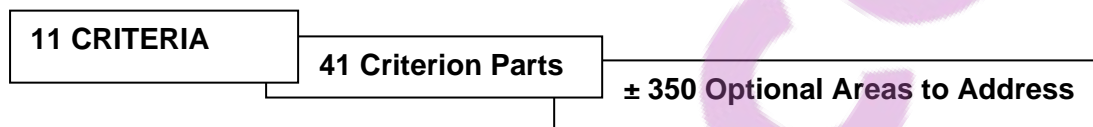
The percentages attached to the Criteria of the Model were established following a wide-ranging survey to collect views, including those of Baldrige, EFQM and a panel of international award assessors and founding organisations. These weightings are used to score applications for the SAEF Excellence Award, Prizes and Certificates. There is no requirement for organisations to adopt these weightings, nor indeed to score, when the model is used for purposes of self-assessment (SAEF 2001b:3-10). These points and percentages will be reviewed annually by SAEF as part of their continuous improvement process (SAEF 2001d:13).

The full power of the SAEF Excellence Model (see figure 3.5) is derived from the relationships between criteria. At a basic level, if a process is said to be key part of an *Enabler criterion,* then results related to the performance of that process should appear in one of the *Results criteria.* Whilst all eleven criteria in the SAEF Excellence Model are interrelated, some relationships are particularly clear, like People Management and People Satisfaction or Resources and Information Management, Processes and Business Results (SAEF 2001d:14).

Figure 3.5   The South African Excellence Model
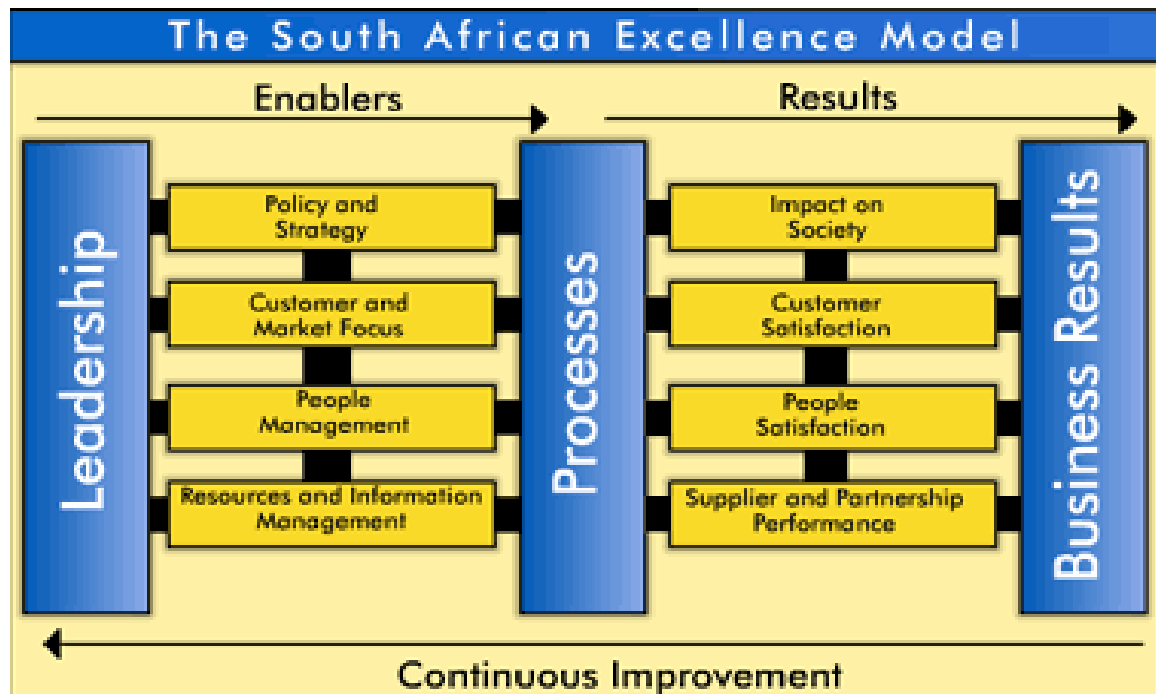
 Source: SAEF (2001c:7)

3.4.5. Scoring the SAEM Criteria

3.4.5.1   Scoring the Enabler Criteria

To make an assessment of the Enabler criteria, information is required on the excellence of *the approach* used and the *degree of deployment* of the approach, vertically through all levels of the organisation and horizontally to all areas of activity (SAEF 2001c:13). Each enabler is broken down into a number of criterion parts. Each criterion part needs a response, even if the response is 'not relevant to our organisation' There is no requirement to respond to all of the areas to address in each criterion part, only those relevant to the organisation. Additionally, other areas to address may be introduced or omitted (SAEF 2001d:13). To score the Enabler criteria it is important to:

- briefly record the *evidence* of what the organisation is doing and,
- provide *evidence* that covers the 'excellence of your approach' and 'extent

of your deployment' in relation to each question (SAEF 2001c:13).

When determining *the excellence of an approach*, it should be considered whether:

- methods, tools and techniques are used that are appropriate for the organisation;
- things are done in a systematic way and errors are prevented;
- actions are regularly reviewed and challenged;
- good ideas are implemented to obtain continuous improvement in all areas of the organisation; and
- the approach is integrated into the everyday operations of the organisation (SAEF 2001c:12).

When determining the *extent of deployment* it describes how well the approach elements were implemented in all the areas within the organisation. The approach must therefore be implemented vertically, throughout all relevant levels in the organisation, horizontally, throughout all relevant areas and activities in the organisation as well as to all the relevant processes that are used in the organisation (SAEF 2001c:13).

When considering continuous improvement and performance excellence within an organisation, both the excellence of the approach and the extent of the deployment must be pursued. These elements compliment each other as indicated in figure 3.6.

Depending on the extent and clarity of the evidence available, each question in the SAEF Self-Assessment Questionnaire (see Appendix A) should be scored as follows:

- Areas for improvement are given scores of 0 and I - based on evidence indicating:
  - Not started (score 0). Someone may have some good ideas, but nothing has happened yet.
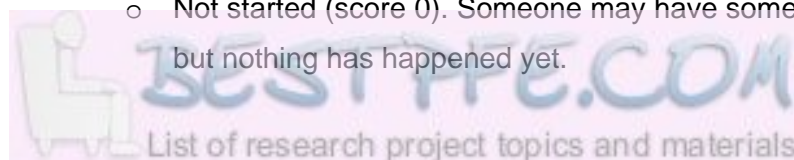
> o   Some progress (score 1). You have started doing something
>   in a part of your organisation. Evidence exists that some
>   progress reviews are taking place. Improvements are being
>   made in this area.

- Strengths are given scores of 2 and 3 - based on evidence
  indicating:

> o   Good progress (score 2). This is being done well in most,
>   but not all areas of the organisation. Progress reviews take
>   place regularly. Organisation performance is much better in
>   this area.
> o   Fully achieved (score 3). An excellent approach is achieved
>   in this area. Although improvement is possible, you are the
>   'role model' for others (ibid:13).

Figure 3.6   Assessing the Approach and Deployment of Enabler Criteria
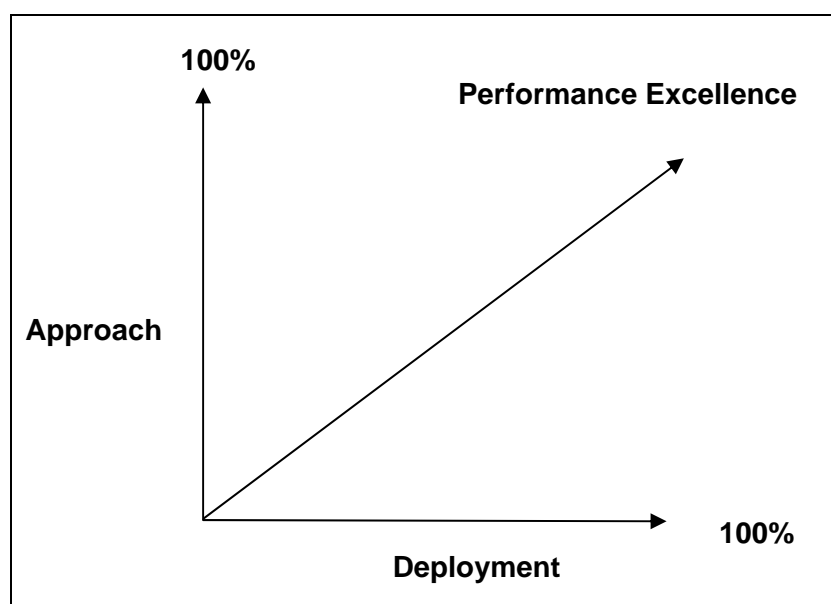
Source: SAEF (2001c:13)

3.4.5.2 <u>Scoring the Results Criteria</u>

The Results criteria are concerned with what the organisation has *achieved* and is
achieving. When scoring the Results Criteria, two aspects must be considered,
namely the Excellence and the Scope of the Results.

- Excellence of the Results

  When determining the *excellence* of results, one should consider positive or negative trends, improvement targets, possible corrective actions and the maintenance of further improvement of good performance.

- Scope of the Results

  When measuring the scope (width and depth) of the results in each criterion, it should include a full range of results in all the relevant areas of the organisation and an understanding of why each result is important to the organisation (SAEF 2001c:27).

When considering continuous improvement and performance excellence within an organisation, both the excellence of the results and the scope of the results must be measured. These elements compliment each other as indicated in figure 3.7.

Figure 3.7   **Measuring Both the Excellence and Scope of the Results Criteria**
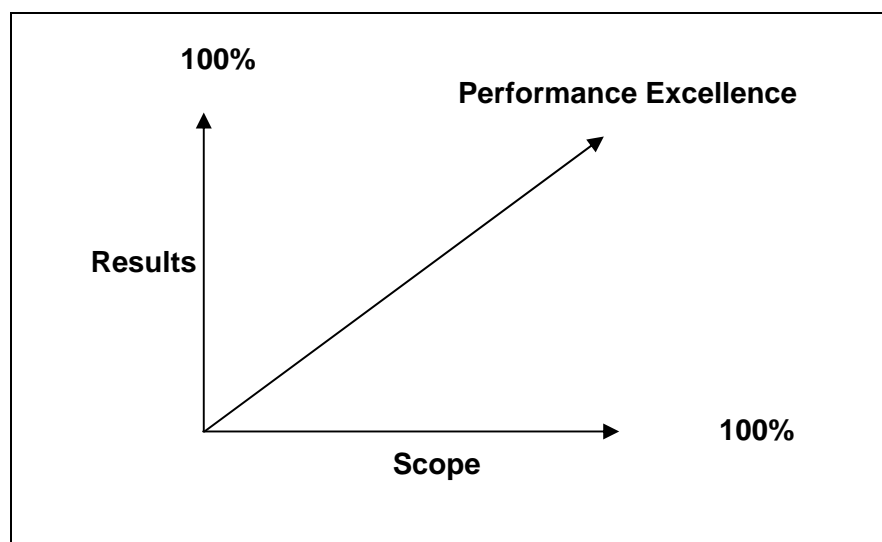
Source: SAEF (2001c:28)

The results criteria are scored by briefly recording all the evidence of what the organisation has achieved by providing evidence of both the excellence of the results and the scope of the results (SAEF 2001c:28). Trends can now be

identified as illustrated in figure 3.8.

Figure 3.8   Trends in Performance in Each Area
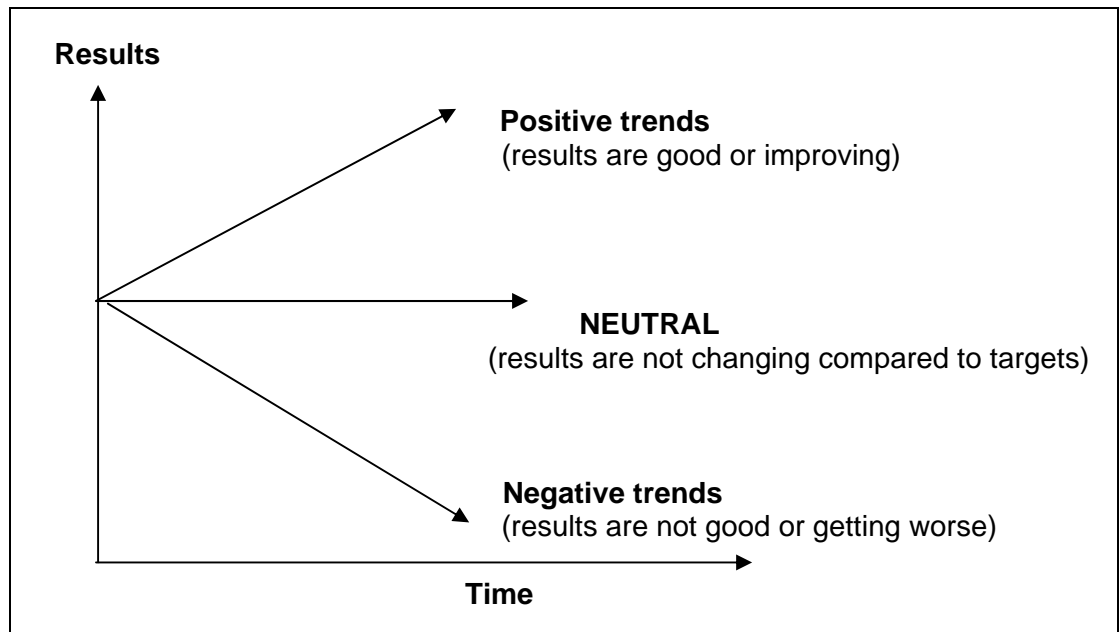
When scoring the Results criteria, depending on the extent and clarity of the evidence available, achievements according to each question in the SAEF Self-Assessment Questionnaire (see Appendix A) should be scored as follows:

- Areas for improvement are given scores of 0 and I - based on evidence indicating:
  - o Not started (score 0). Nothing is happening. You have no information about this aspect.
  - o Some progress (score 1). You have started collecting data, but do not have enough information to establish a trend. If you do have sufficient information, your results are negative at this stage.

- Strengths are given scores of 2 and 3 - based on evidence indicating:
  - o Good progress (score 2). Results are showing a positive trend or good continuous performance over a period of 12 to 24 months.
  - o Fully achieved (score 3). Results are showing an excellent,

continuous positive trend over a 24 to 48-month period. Improvement is possible in this area, but you are a *role model* (SAEF 2001c:28-29).

On its journey towards continuous performance and performance excellence an organisation must therefore focus on what and how it addresses the Enabler criteria and measure the achievements in the Results criteria in the areas of both Results and Scope (ibid:29). This whole processes is summarised in figure 3.9.

Figure 3.9   Using the SAEM in Pursuing Performance Excellence
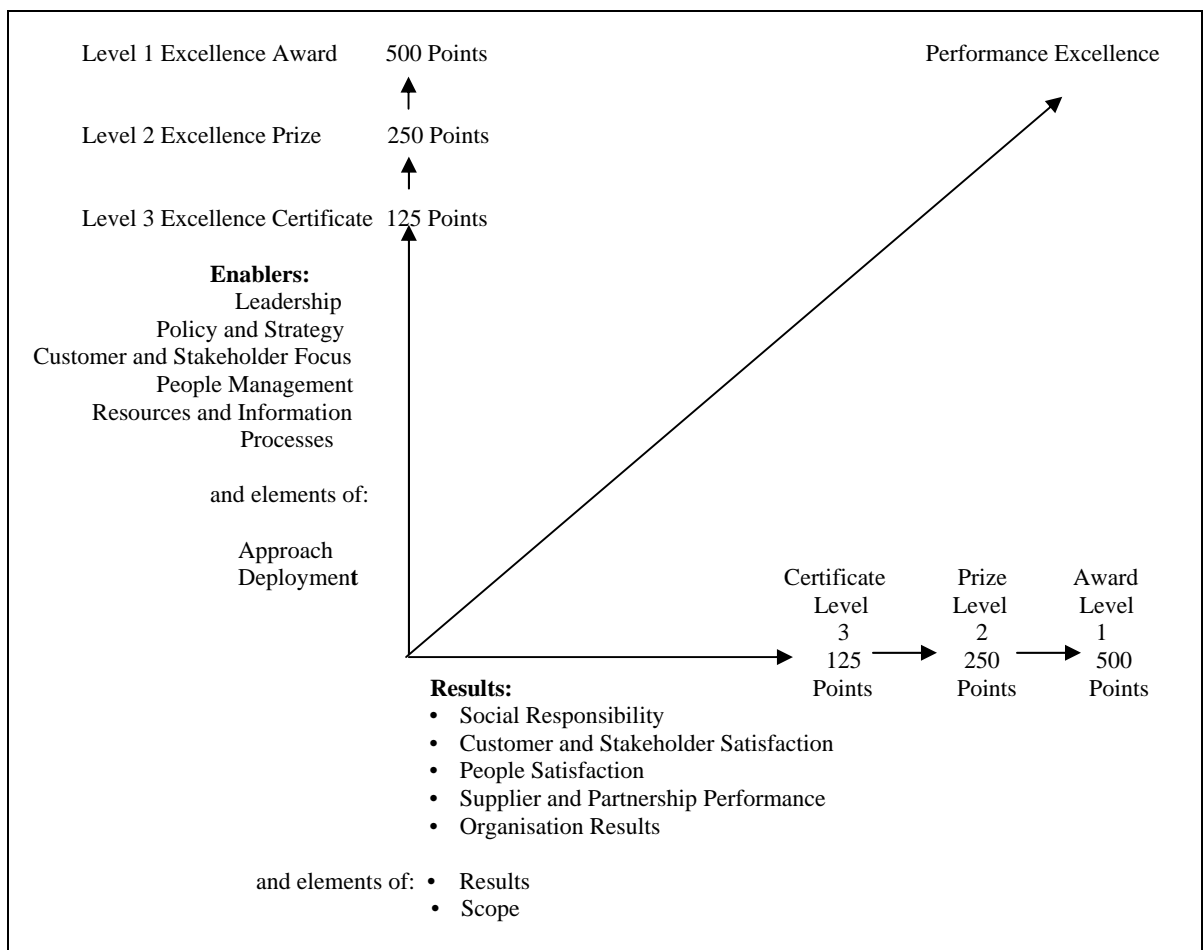
Source: SAEF (2001c:29)

The directions of use of the SAEF questionnaires and scoring of the criteria in general is comprehensively discussed in SAEF Manuals (cf. SAEF 2001a; SAEF 2001b) The SAEF also provides assessment training and support.

3.4.6   Summary of the Key Characteristics of the Award

The South African Excellence Foundation's main purpose is to manage and promote continuous improvement through the use of the South African Excellence Model (SAEM). This process uses self-assessment to enable organisations to determine their level of performance excellence for which they may seek recognition through an Awards Programme. The South African Excellence Foundation (SAEF) provides a framework and direction to create a culture of excellence throughout South Africa to enhance overall competitiveness (SAEF 2001a:49).

One of SAEF's strategic objectives is to ensure that its model is recognised as providing the key strategic framework and criteria for managing an organisation and identifying improvement opportunities. To do this effectively, the SAEF Model needs to remain at the forefront of organisational thinking and to take account of feedback from its many users and therefore the model will continuously be reviewed and improved when deemed necessary (SAEF 2001b:A-2).

When investigating the significance and impact of the SAEM as quality and excellence model as framework for self-assessment and continuous performance improvement, it is, however, important to compare this model with the three major quality models discussed in this chapter.

3.4.7   The SAEM and Other Major Quality Models – A Comparison

As was mentioned in section 3.4.1 the SAEF is a member of the Global Excellence Council and is allied to its international counterparts such as the Baldrige National Quality Program (USA), and the European Foundation for Quality Management (EFQM) and the SA Excellence Model was developed by using the Baldrige Model (USA) and the EFQM Model (Europe) as the point of departure (SAEF 2006).

When comparing the major award programmes with the SAEA, differences but also sig-

nificant similarities were found in the objectives, fundamental concepts and assessment criteria of these awards. In addition, all of the award programs promote organisational self-assessment and utilise continuous improvement initiatives to retain their positions as benchmarks in quality systems and as principals in the formation of a global quality model.

3.4.7.1 <u>Common Objectives</u>

The quality award programs, their models and their criteria have several objectives in common. Each program emphasises continuous analysis and improvement and, with the exception of the Deming Prize (which is mainly concerned with quality control for product manufacturers), focuses on organisational quality management. Overall, the programs exemplify customer driven quality through streamlined processes, product design, leadership, human resource development and customer focused strategic plans. Table 3.2 provides a summary of the objectives of the relevant quality awards. An analysis of the objectives of the Baldrige (see section 3.3.2.1), European (3.3.3.1) and South African (3.4.1) awards demonstrates the following similarities:

- Stimulates and promotes improvement.
- Provides a framework/tool/support for managing performance.
- Enhances competitiveness or communicating best practices.

Table 3.2 The Objectives of Four Major National Quality Awards

Deming Prize (Japan)	European Quality Award	Malcolm Baldrige Award (USA)	South African Quality Award.
• To evaluate and recognise methods of company wide quality control for Japanese business	• To stimulate and assist European organisations in improving customer and employee satisfaction, impact on society and business results. • To support European managers' efforts to initiate TQM and achieve global competitive advantage.	• To help improve performance practices and capabilities • To facilitate communication and sharing of best practices among US organisations. • To serve as a working tool for understanding and managing performance, planning, training and assessment.	• Provides a process framework and direction to create a culture of organisational excellence • Enhance overall competitiveness and promote the well-being (quality of life). • Promote a culture of organisational performance excellence.

3.4.7.2 <u>Fundamental Concepts Underlying the Awards</u>

Although they may differ slightly, these models are all based on fundamental concepts (cf. Baldrige 2005d; EFQM 2003c:6-8; SAEF 2001d:11-12; Vokurka et al. 2000:45). These values and concepts are embedded beliefs and behaviours found in high-performing organisations. The concepts could also change as excellent organisations develop and improve. Criteria for assessment for each model are therefore built upon a set of interrelated core values and concepts.

When comparing the fundamental concepts of these four quality awards (see table 3.3), it is clear that the Baldrige and European awards share the same eight concepts of the South African award. The Baldrige award also emphasises agility, focus on the future and a systems perspective. Although the quality control approach of the Deming Prize is based on a different set of concepts, it was necessary to include an overview of this prize in this study for the following reasons:

- All quality awards were established due to the successful Japanese efforts of honouring quality practices in the 1950's (Vokurka et al. 2000:41).
- The overlapping core concepts of social responsibility, employee education, customer focus and continuous improvement (cf. Khoo & Tan 2003:21).
- A closer examination of categories and items reveals a number of common areas (Ghobadian & Woo 1996:34-35).
- Other quality awards followed the assessment procedure of the Deming Prize which includes individual assessors evaluating sub-missions, determining consensus scores, a site visit and ultimately the awarding companies found to best exemplify the criteria of the award (Vokurka et al. 2000:44).

Table 3.3   The Fundamental Concepts Underpinning the Four National Quality Awards

Deming Prize (Japan)	Malcolm Baldrige Award (USA)	European Quality Award	South African Excellence Award.
• Create a vision and commitment • Learn the new philosophy • Understand inspection • Do not make decisions on cost only • Improve constantly • Institute training • Institute leadership • Drive out fear • Optimise the efforts of teams • Eliminate exhortations • Eliminate numerical quotas • Remove barriers to pride in workmanship • Encourage education and self-improvement • Take action	• Visionary Leadership • Customer-Driven Excellence • Organisational and Personal Learning • Valuing Employees and Partners • Agility • Focus on the Future • Managing for Innovation • Management by Fact • Social Responsibility • Focus on Results and Creating Value • Systems Perspective	• Leadership and Constancy of Purpose • Customer Focus • People Development and Involvement • Partnership Development • Continuous Learning, Innovation and Improvement • Management by Processes and Facts • Corporate Social Responsibility • Results Orientation	• Leadership and Constancy of Purpose • Customer Focus • People Development, Involvement and Satis-faction • Supplier Partnership • Continuous Improvement and Innovation • Processes and Facts • Public Responsibility • Results Orientation

3.4.7.3 Criteria and Weighting in the Main International Quality Awards

Unlike the other national quality awards, the Deming Prize does not provide a model framework for organising and prioritising criteria. Instead, the evaluation includes ten equally weighted primary factors that each applicant must address. While the Deming Prize does not provide a model per se, the categories emphasise values similar to those of the other award models. The number of criteria categories in these national award programs range from seven (Baldrige) to eleven (SAEA). Where programs have similar criteria, the approaches and definitions involved often vary from award to award. Differences also exist in the point or weight allocations placed on each criterion. For example, Business Results has the greatest weight for the Malcolm Baldrige National Quality Award (MBNQA), while Customer Satisfaction carries the most weight for the European Quality Award and South African Excellence Award. When compared to the other three awards, the Deming Prize places more emphasis on process *control* and improvement while customer and market knowledge get relatively little

consideration. A summary of each award's criteria with their weightings is provided in table 3.4.

TABLE 3.4   Criteria and Weighting in the Main International Quality Awards

The Deming Prize (Equal weightings)	The Malcolm Baldrige National Quality Award (MBNQA)	The European Quality Award (EQA)	South African Excellence Award. (SAEA)
Policy Organisation and its management Education and dissemination Collection, dissemination and use of information on quality Analysis Standardisation Control Quality assurance Results Planning for the future	Leadership (9) Information and analysis (8) Strategic quality planning (6) Human resources development (15) Management of process quality (14) Quality and operational results (18) Customer focus and satisfaction (30)	Leadership (10) People management (9) Policy and strategy (8) Resources (9) Processes (14) People satisfaction (9) Customer satisfaction (20) Impact on society (6) Business results (15)	Leadership (10) Policy and Strategy (7) Customer and Stakeholder Focus (6) People Management (9) Resources and Information Management (6) Processes (12) Impact on Society (6) Customer and stakeholder Satisfaction (17). People satisfaction (9). Supplier and Partner Performance (3). Organisational Results (15)
(100)	**(100)**	**(100)**	**(100)**

3.4.7.4 Conclusions

Each of the awards compared has its unique characteristics, however, they all attempt to improve quality management practices and therefore they share from a set of fundamental philosophies and concepts.

For the purpose of this study it is clear that in South Africa the South African Excellence Model provides a framework for organisations to identify and measure their position against a set of internationally accepted criteria. Identifying organisational strengths and weaknesses by means of self-assessment against a set of common criteria, assists organisations to not only address areas for future improvements, but also provide data for benchmarking nationally and internationally. The models, however, do not provide detailed methods as to how organisations can overcome their weaknesses and organisations therefore need to analyse and evaluate their current status of

performance excellence and include required improvement initiatives in their strategic or business plans.

3.5 SUMMATIVE REMARKS

In this chapter it was indicated that the pursuit of excellence and continuous improvement have globally become matters of urgency for any organisation hoping to survive in the increasingly competitive global market. This focus on excellence and quality compels organisations to conduct self-assessment and review their activities and achievements to identify strengths and areas for improvement and promote continuous performance improvement. Organisations are therefore in search for suitable frameworks or internationally accepted criteria, which focus on sustained improvement, to assist them in their organisational self-assessment approaches.

Many countries have been encouraged to introduce local, national, or transnational quality awards. These awards are all based on a selected model of total quality management and take account of a wide range of management activities and processes, which influence the quality of the products or services. Although these models that underpin the quality awards may have limitations, they do provide useful frameworks against which organisations, large and small, private and public, can assess their quality management methods and the end results.

Although they may differ slightly, quality models worldwide:
- are based on fundamental concepts or beliefs and behaviours found in high-performing organisations;
- include significant similarities in the criteria used for self-assessment;
- encourage the use of self-assessment and continuous improvement initiatives.

Although quality awards and assessment frameworks were first introduced and most widely used in business and manufacturing, their usefulness has recently also been introduced and used in managing health services, education and other public service organisations.

With the success of the Deming Prize, the Malcolm Baldrige National Quality Award, and the European Quality Award, many other countries have developed or are busy

developing their own National Quality Award Programs (NQAs). While many countries have used these internationally accepted models in developing their award schemes, others have evolved their own evaluation criteria and systems taking socio-cultural backgrounds in view (see Section 3.3.4.5). While socio-cultural influences are important, in a global economy all National Quality Awards search for internationally accepted standards and practices. The South African Excellence Award is an example of an approach that required that quality systems developed are in line with international standards, to ensure international recognition so as to meet international competitive challenges (SAEF 2001b:A-1).

Award administrators update all of the awards' criteria periodically in order to represent the most current understanding of organisational quality practice and improvement (cf. (Baldrige 2005b; EFQM 2001:19; SAEF 2001d:13). With the national quality awards being periodically reviewed and updated, administrators will benchmark and act on lessons learnt or even apply identified best practices borrowed from each other. This could lead to increased similarities between models and criteria and promote the creation of a single internationally accepted strategic model for quality and organisational performance assessment in the future.

Quality awards have helped to focus attention on quality and facilitated a better understanding of the underlying quality issues. These NQA's do not only present organisations the opportunity to apply for awards but more so provide organisations with a TQM model and a framework for organisational self-assessment. Whether aiming to apply for an award or only implementing a programme for quality improvement, an organisation is required to undertake a self-assessment or a self-appraisal exercise.

3.6   CONCLUSIONS

Research sub-problem 2 of this study (see section 3.2) enquired to the significance and impact of quality and excellence models as frameworks for self-assessment and continuous performance improvement. The literature study confirmed that an understanding of the origin, concepts and criteria of internationally accepted quality models will enhance the comprehension of the concept of quality, highlight underlying assumptions, and identify the benefits of using quality or excellence models as audit frameworks for self-assessment of organisational performance.

The scope of this chapter therefore included a review of three major international Quality Awards, their frameworks and accepted fundamental concepts and assessment criteria in order to establish the base, concepts and criteria that are used in the South African Excellence Model for assessing organisational excellence or performances.

The international Quality Awards that were reviewed were the Deming Prize in Japan, the Baldrige Quality Award in the USA and the European Quality Award. They arguably represent the major quality awards in the world and potentially winning any one of these quality awards represents the highest honour and international recognition that an organisation can attain. It was also indicated that most of the other international Quality Awards or frameworks were adapted from one or more of these models or feature the same fundamental concepts or assessment criteria.

By briefly describing the salient features and distinct attributes of these three major international awards and then comparing their features and attributes with those of the SAEM, the chapter consequently provided the background and rationale for utilising the SAEM as internationally accepted framework for the assessment of performance excellence.

It was demonstrated that in South Africa the South African Excellence Model provides a framework for organisations to identify a range of intangible and tangible processes, which influence these organisations' approach to quality and the quality of the final products and services. In addition, this model provides organisations with a means to measure their position against a set of internationally accepted criteria. The model, however, does not provide detailed methods as to how organisations can overcome their weaknesses. Organisations need to analyse and evaluate their current status of performance excellence and include required improvement initiatives in their strategic or business plans.

When performing self-assessment of performance excellence or applying for a Quality Award, training units in the SANDF are required to utilise the concepts and assessment criteria of the South African Excellence Model (SAEM). The following chapter will provide the reader with an overview of the military environment within which this research was conducted, in order to provide the context in which self-assessment as component of a

Continuous Performance Improvement Strategy and quality assurance of ETD, was investigated.

CHAPTER 4

EDUCATION, TRAINING AND DEVELOPMENT IN THE SOUTH AFRICAN DEPARTMENT OF DEFENCE

4.1   INTRODUCTION

Traditionally training within a military context was seen as confidential and the principle of security often resulted in unique military training methods or approaches. The aim of military training was to prepare forces for battle with little accountability to or oversight by civilian authorities. Following the elections in April 1994, South Africa became a new democracy and the new constitution emphasises openness and accountability in the affairs of government. The Constitution now establishes a framework where the Defence Force is non-partisan; is subject to the control and oversight of the elected and appointed civilian authority, and is obliged to perform its functions in accordance with law.

Defence policy should be in harmony with all other aspects of government policy, and is a subset of government policy. Accountability, responsiveness and openness in government are now constitutional tenets and the Minister of Defence is now committed to ongoing consultation with Parliament, political parties, interest groups, non-governmental organisations and citizens in order to forge a national consensus on military matters.

Training and development within the DOD have been greatly influenced by this latest approach of openness and transparency into matters of the department, as well as the new national legislation regarding Education, Training and Development (ETD).

Documents, such as the White Paper on Defence (DOD 1996) and the Defence Review (DOD 1998), also address the matter of education and training within a transformed DOD. The transformation of the DOD has also necessitated an overhaul of the training function and therefore an ETD Project Team set out their initial findings and recommendations regarding the future ETD concept within the DOD in August 1997. The requirement existed for a Departmental policy to create a macro framework for ETD in the DOD. This need was addressed by the introduction of an Overarching Policy Framework for ETD in the DOD in 2003 to which all other DOD ETD policies should in future be aligned.

4.2   ORIENTATION

The aim of this chapter is to give the reader an overview of the military environment within which this research was conducted, in order to provide the context in which self-assessment as component of a Continuous Performance Improvement Strategy and Quality Assurance of ETD, was investigated.

The roles of the SANDF in a democracy and the influence on and implications for training and development within the DOD will be discussed briefly. After illustrating how the findings and recommendations of the First Report on Education, Training and Development in the DOD (1997) provided the process and structure that were envisaged to address this transformation of ETD in the department, a discussion is provided of the new Service System or Human Resource Strategy within the DOD and how it will impact on ETD in the department. After demonstrating the impact of new legislation such as the SAQA Act (South Africa 1995), on the provision of ETD in the Department of Defence, the role of ETD in the Department of Defence's Continuous Performance Improvement Programme will be illustrated. This chapter will conclude with a discussion of the Overarching Policy for ETD as macro framework or common frame of reference for providing ETD within the department.

4.3   THE SOUTH AFRICAN NATIONAL DEFENCE FORCE'S ROLE IN EDUCATION AND TRAINING IN A DEMOCRACY

4.3.1   The White Paper on Defence

On 21 June 1995 the Minister of Defence published a draft White Paper on Defence with an invitation to citizens and their elected representatives to comment thereon. Over ninety written submissions were received and the Parliamentary Joint Standing Committee on Defence held three special sessions on the draft. Comments and proposals were scrutinized carefully and to the greatest extent possible, incorporated into the document (DOD 1996:2).

The White Paper on Defence that was published in 1996 presented the defence policy of

the Government and states that its principal purpose was to inform citizens and other states, particularly those in Africa, of South Africa's new defence policy. The White Paper was also intended to serve as a confidence and security-building measure in Southern Africa (DOD 1996:1).

This publication also states that education and training programmes within the SANDF are a cardinal means of building and maintaining a high level of professionalism. At the heart of training is the preparation of officers and other ranks to fulfil the SANDF's primary function of defence against external military aggression. Specific training programmes would, however, in future have to prepare military personnel for regional security co-operation and involvement in international peace support operations (DOD 1996:10).

Education and training also play an essential role in developing the political and ethical dimensions of military professionalism. This led to the design and implementation of a Civic Education Programme on "Defence in a Democracy", as part of courses on all levels in the DOD. This civic education programme is to instil respect amongst military personnel and other members of the DOD for the core values of a democratic South Africa through appropriate education and training. These values derive principally from the Constitution. They include respect for human rights, the rights and duties of soldiers, the rule of law, international law, non-partisanship, non-discrimination, and civil supremacy over the armed forces. The institutional culture of the SANDF is imbued with respect for human rights and the rule of law only if its members are subject to disciplinary action in the event of abuses. The SANDF, together with the International Committee of the Red Cross, is developing a comprehensive curriculum on international humanitarian law and international law on armed conflict (DOD 1996:10)

4.3.2   The Defence Review

The White Paper on Defence of 1996 provided the basis for a Defence Review (DOD 1998). The Review (DOD 1998:1) entails comprehensive long-range planning on such matters as doctrine, posture, force design, force levels, logistic support, armaments, equipment, human resources and funding. Matters regarding future education and training within the DOD are also discussed.

4.3.2.1 Education and Training

The South African Defence Review (DOD 1998:83) has established the broad parameters within which education and training must take place in the SANDF. Within this normative and qualitative framework, the following guidelines apply:

- Training shall be competency-based as far as practicable.
- Training shall be based on sound educational technology principles.
- Training will be used to improve the individual's performance and not as a disciplinary tool.
- Training in the SANDF will recognise the dignity of the individual and will be conducted in an environment conducive to learning.
- Training in the SANDF shall be based on clearly identified training needs, linked to work or international standards. The SANDF's training course content is being scientifically developed through course design.
- All training will be reviewed periodically to make it more cost effective while maintaining or improving standards. Options include combining of training facilities, providing training on an agency basis or providing common training at joint schools.

Since April 1994 the SANDF has experienced an abnormal training load due to the bridging training for members that integrated into the new SANDF. Training, however, remains the main focus of SANDF activities when operational deployments are low (DOD 1998:83).

4.3.2.2 Approach to Training in the SANDF

The Defence Review (DOD 1998:84) states that Training within the SANDF is directed towards equipping its members with the necessary skills, knowledge and attitudes for service in the SANDF. Effective force preparation is the first and foremost consideration when determining the content, scope and cost of training. Provision is made to obtain accreditation of training within the framework of SAQA (see section 4.6), including training obtained outside of South Africa. As the SANDF is committed to providing the individual member with the greatest mobility

in the work environment, the SANDF is affiliated to SAOA, thereby gaining access to the National Qualification Framework (NQF). Each member of the SANDF has an equal opportunity of attending applicable scheduled courses for career development. Training shall therefore qualify an individual to rise to the highest level within his/her ability. In order to make training accessible to those previously educationally disadvantaged, programmes are introduced to enable those who display potential to qualify on the applicable courses.

The SANDF presents over 2 000 formal courses per year, ranging from military development courses to war fighting skills training, some lasting a week while others last a year or more. In addition, the SANDF also trains a large proportion of its personnel in industry-related skills. While the starting level for most courses is at Grade 12, some senior courses are presented on the level of a post-graduate degree (DOD 1998:84).

4.3.2.3 Training Competencies

The concept of standards within the SANDF has various meanings amongst the different stakeholders and training standards in the SANDF are measured in the following three dimensions:

- The first dimension is derived from the competency, which is required of a person to perform a given operational mission.
- The second dimension refers to internationally verifiable standards, which are particularly important to ensure inter-operability, for example in peace support operations.
- The final dimension refers to statutory standards that are laid down by statutory bodies such as medical councils, or international bodies, such as the International Civil Aviation Organisation (ICAO). Those members of the SANDF who are to be engaged in these types of work will be trained to the standards set by those statutory or international bodies (DOD 1998:84).

4.3.2.4   Control of Training in the South African National Defence Force

The control of training in the SANDF is vested in the Chief of the SANDF in terms of the Constitution (1996) and the Defence Act. The Chief of the SANDF therefore determines overall defence force training policy and delegates the execution of specific training to a combat or support arm, or provides for joint training where such training concerns more than one of the services (DOD 1998:85).

4.3.2.5   Tertiary Education

The Defence Review also states (DOD 1998:85) that the SANDF needs officers with tertiary qualifications and therefore provides the opportunities for selected officers to study for a tertiary qualification during their term of service. One of the tertiary education schemes is the Uniform Bursary Scheme, whereby selected candidates study full-time, with retention of their salaries, for the medical or engineering profession. Tertiary qualifications are also available through the Military Academy, which provides selected officers with both further military officer development and academic training to the bachelor level soon after the commencement of the candidate's military career.

A further method of providing for a tertiary qualification is through the part-time study bursary scheme. Members of the DOD may apply for a bursary to study part time for both undergraduate as well as postgraduate degrees or diplomas.

4.3.2.6   Civic Education

To ensure that the SANDF acts in a military professional manner, the SANDF is committed, in terms of the White Paper on Defence, to the introduction of a Civic Education Programme as part of all its development courses and appropriate operational training courses. This programme is to instil respect amongst military personnel and other members of the DOD for the core values of a democratic South Africa through appropriate education and training. Training in the Law on Armed Conflict (International Humanitarian Law) has been implemented since January 1997 with the assistance of the International Committee of the Red Cross (DOD 1998:86).

4.3.3   Summative Remarks

The current functions and roles of a transforming SANDF within a new democracy have necessitated a renovation of its training function. The influence on and implications for training and development within the department now demand a new approach to ETD.

The Constitution of South Africa, which enshrines fundamental rights and emphasises openness and accountability in the affairs of government entails that the DOD is subject to the control and oversight of the civilian authority, and is obliged to perform its functions in accordance with the new national legislation regarding ETD (see section 4.6). ETD providers must now obtain accreditation of training at SAQA, thereby gaining access to the NQF.

4.4   THE TRANSFORMATION OF EDUCATION, TRAINING AND PROFESSIONAL DEVELOPMENT IN THE DEPARTMENT OF DEFENCE

4.4.1   Introduction

The First Report of an ETD Project Team (DOD 1997:4) sets out initial findings and recommendations regarding the future ETD concept in the DOD and was compiled by the ETD Project Team in conclusion of an intensive study phase of fourteen weeks. The study was based on internal as well as external research and consultation with the internal ETD stakeholders, military attaches, and certain academics in this particular field.

This document sets out the recommendations on questions that are of great significance to the ETD system. The ETD Project Team determined the status of ETD in 1997 and the report includes recommendations as to the process and structure that are envisaged to address the transformation of ETD in the department. One of the main features in this report was the adoption of an ETD process within the DOD (DOD 1997:5).

In the past training in the DOD mainly focused on the preparation of forces for war. It thus meant training only satisfied the needs of specific clients. The transformation of the DOD has necessitated an overhaul of the training function, including education and

development, thus catering for the total development of the individual, groups and organisations within the DOD (DOD 1997:9).

4.4.2 The Status of ETD in the Department of Defence in 1997

Training has always formed an integral part of the DOD as part of the preparation of forces for war. The training presented was comprehensive and mainly satisfied the needs of the specific clients. The transformation of the Department of Defence required an overhaul of the training function which was expanded to include education and development, thus catering for the total development of the individual, groups and organisations within the DOD (DOD 1997:9).

The Report reported on the state of ETD in the DOD in 1997 and states the following aspects: (DOD 1997:10-13):

4.4.2.1 Infrastructure and Facilities

The DOD had numerous training facilities in various locations around the country. The facilities vary in quality ranging from tailor made to makeshift facilities. The geographic (spatial) distribution of training institutions had the effect that a number of facilities were under-utilised.

4.4.2.2 ETD Practitioners

In 1997 a shortage of qualified instructors at most training institutions was a general trend. This problem was exacerbated by the then current personnel climate where units could not release the instructors to obtain the necessary ETD qualifications. The majority of instructors were executing their function in an exemplary manner but were being negatively affected by diminishing resources. The fact that training of a high standard was still being presented was attributed to the positive attitude and conscientiousness of these members.

4.4.2.3 ETD Opportunities or Courses

In general very good training was presented in the various Services. However, duplication of course content was widespread especially in the developmental training field and in certain areas there was very little co-ordination between training institutions regarding training requirements. The practice of coupling courses to promotion led to courses being done for qualification purposes only and did not inculcate the right attitude to learning.

4.4.2.4 Tertiary Training

The Military Academy was under-utilised and functioned mainly as a military university and not as a military academy. Other ranks were severely neglected in the field of tertiary education as it was almost exclusively reserved for officers.

4.4.2.5 Accreditation

Very few SANDF courses and qualifications enjoyed accreditation in the private sector in 1997.

4.4.2.6 Research and Development

Research and development was the first area hit by budget cuts in most units. Research and development dedicated to the training function was virtually non-existent in most units. The library facilities and modern information technology were deficient in most institutions.

4.4.2.7 Technology

Good technology was available in the ETD environment within the DOD but a lack of coordination existed regarding the acquisition of computer hardware and software. In some cases there was a duplication and in other instances, an underutilisation of technology.

4.4.2.8   <u>Doctrine</u>

Individual Services' doctrine as well as a joint operational concept and joint doctrine did exist within the DOD to facilitate ETD.

4.4.3   Assessing the Quality of Training within the Department of Defence

This ETD Report stated the following conclusions on the status of ETD in 1997 that are relevant to this research project as it addressed issues that would influence the quality of training presented in the DOD. When assessing the performance excellence or priorities for performance improvement within these training units, the impacts of the following are significant (DOD 1997:13-16):

- *ETD Practitioners/Instructors.* The remuneration of ETD practitioners, the timing of the placement of instructors and a specific career path had to be considered in order to retain good practitioners.
- *Coordination of ETD.* The control of ETD had to be centralised in order to bring about the coordination of the function.
- *Systems.* Systems needed to be standardised in order to eradicate duplication of some types of training.
- *Role-model Units.* The practices at such units required to be analysed in order to expand these 'best practices' to other ETD institutions.
- *Research and Development.* ETD institutions needed to include ETD research and development as part of their function.
- *Accreditation.* The submission of all ETD opportunities presented in the DOD to SAQA for accreditation purposes should enjoy high priority and therefore all ETD opportunities required to be designed with the NQF accreditation specifications as a point of departure.
- *Outcomes Based ETD.* The focus necessitated shifting from the focus on qualifications to competencies and outcomes.
- *Training ETD Practitioners.* An institution such as The SANDF College of Educational Technology needed to be optimally utilised.
- *Technology.* A clear policy had to be formulated regarding ETD technology.
- *Doctrine.* Defence doctrine needed to be developed to address a joint operational concept and this doctrine should provide the basis for joint training.

4.4.4 Recommendations for Transformation of Education, Training and Development in the Department of Defence

4.4.4.1 ETD Vision for the DOD

According to the ETD Report, ETD can be regarded as a systematic and planned process to change the knowledge, skills and behaviour of people in such a way that organisational objectives are achieved. It is thus imperative that the DOD be guided by a crystal clear vision, goals and performance measures to continually evaluate and improve the ETD delivery system. The creation of an appropriate climate and conditions for learning, such as a learning culture and the approach to ETD are of paramount importance. The system must be supported by the development of an appropriate structure and the institutionalisation of an ETD process (DOD 1997:19).

For this reason the project team (DOD 1997:19) recommended the following ETD vision for the DOD:

> Education, Training and Professional development Service of the DOD is credible and value centred. It innovatively creates appropriate efficient and effective opportunities that are accessible and inspiring to our people, achieving competence for mission readiness within an environment conducive to progressive learning.

4.4.4.2 Targets

In order to transform the ETD in the DOD the project team listed the following targets that would influence the quality of training presented in the DOD (DOD 1997:20-21):

- Utilisation of all ETD opportunities.
- All ETD opportunities are based on scientific instructional design and are integrated with doctrine and learning matter.
- Determined client needs are 100% satisfied through ETD opportunities.

- ETD opportunities are conducted with competent ETD practitioners.
- The ETD system is compatible with best practice.
- Appropriate accreditation exists.

4.4.4.3 Values for the ETD Environment

The report (DOD 1997:21-22) states that transformation in the ETD will compel the DOD to strive to:

- Develop purposefully with a client focus, which includes the needs of the individual, the team and the DOD.
- Create the optimum conditions in which the learner body can develop.
- Inspire the learner bodies to accept responsibility for developing competence by fully exploiting the optimum conditions created for them.
- Take account of the intellectual capabilities, learning style, and tempo of learning and personality traits of the individual and to encourage learning to maximum potential.
- Maintain an adult approach in which the individual can self-actualise in or out of the context of group interaction and cooperation.
- Lead the individual to make the DOD culture, values and doctrine a vital aspect of his/her acknowledged attitude to life.
- Integrate fully the theory, practice and the work situation within the learner body.
- Continually evaluate the objective, the process and the product of ETD.
- Maintain an ETD system that enjoys national recognition and is in line with national policy.

4.4.4.4 New Approach to ETD

ETD in the DOD must function as a system within the national and military development environments. Those with authority to present ETD opportunities within the DOD should strive to usher the learner bodies to develop the required competence, through scientifically designed learning experiences. Based on accepted ETD principles, competent facilitators could give expression to the DOD

culture within the framework of accepted values (DOD 1997:23).

4.4.4.5 Systems

A systems approach to ETD is needed at executive (unit) level. The ETD system is purposefully driven by present and future client requirements. An appropriate evaluation is, therefore, done for continuous input, process, capability and outcome improvement in accordance with the client's requirement. The evaluation process caters for benchmarking against national and inter-national best practice, ensuring a world class ETD System. Control is sought through the quality assurance provided by collaborative partnerships inherent in the process and the systems approach (DOD 1997:23-24).

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4.4.4.6 Environments

As a system, the ETD Service operates within the military, public and national environments. The requirements for ETD are based on the strategic intent of the DOD and are, therefore, founded on Defence key capabilities. For this reason, learning opportunities are developed for the competence required in the various posts of the military practitioner and selected candidates are given access to such opportunities at appropriate times in their careers.

National accreditation is an essential aspect of the learning outcome and in this regard, members should be educated to the appropriate NQF level. This means that the military competence must be registered with SA Qualification Authority, in accordance with the NQF levels, through the Defence Education and Training Board (DOD 1997:24).

4.4.4.7 Facilitators

The ETD practitioners are appointed from the operational environment and are therefore members who understand the end-user needs. There is scope for any member of the DOD to take up the challenge of being appointed as a facilitator. Being an ETD practitioner is advantageous to a person's career and therefore appointments are mainly made through application and selection. Through the

use of appropriate learning opportunities, ETD practitioners are properly qualified as facilitators for the appropriate level and role. An ETD practitioner is functionally, professionally and where appropriate, academically qualified one level higher than the learner body (DOD 1997:25-26).

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4.4.4.8 Learning Environment

A climate for success is promoted in an environment conducive to continuous, progressive learning. Every official learning opportunity such as a course, programme or exercise is scientifically designed in accordance with accepted education, training and development principles and the presentation of every learning opportunity is guided by a curriculum and is executed in accordance with a facilitation plan. Learning outcomes are competency based and learner-centred.

Promoting real-time learning requires that facilitation plans be continuously updated in accordance with the client requirements, the dynamics of the learning environment and improvements in the doctrine and procedures in the workplace. To achieve this the ETD System depends on thorough research (DOD 1997:26-27).

4.4.4.9 Learner Body

Candidates making use of the ETD opportunities are validated, in need of learning and are keen to learn. In the development of opportunities for learning, account is taken of prior learning and this is taken as the baseline from which value is added. Account is taken of the characteristics, intellectual abilities and learning styles of the learner body (ibid 1997:27).

4.4.4.10 Conclusion

To achieve these aspects in a transformed ETD in the DOD it would be necessary to establish ETD standards that will promote international approval, national excellence, recognition and accreditation and create efficient and effective ETD opportunities to satisfy the competence required in the DOD. The First Report on ETD therefore stated that the ETD in the DOD will have to undergo a redesign

and recommended requirements pertinent to assist with the development of a new ETD Service (DOD 1997:31).

4.4.5   The ETD Process

The project team on ETD developed an ETD Process that can be regarded as a systematic, planned process to change the knowledge, skills and behaviour of the members in the DOD in such a way that organisational objectives are achieved (DOD 1997:19). This ETD Process (see Appendix G), is a generic, academically responsible approach to progress systematically to a desired output of creating opportunities for learning. Four sub-processes were adopted for the DOD ETD Process that would facilitate the conversion of client needs to the outcome of competence in the workplace. The following sub-processes were identified:

- ***The Determination of the ETD Needs*** is client driven and competency focused.
- ***The Development of an ETD Opportunity*** is done through the scientific educational application of problem solving processes that form the core activity of the sub-process.
- ***The Presentation of the Learning Opportunity*** comprises innovative elements based on the correct diagnosis, the learning plan, the facilitation plan, and the evaluation plan.
- ***The Evaluation of the ETD System***, where the emphasis is on the ability of measuring the transfer of learning in the workplace (DOD 1997:41).

The ETD process can also be viewed as an enabling mechanism that will provide ETD opportunities for all other DOD processes, such as: Provide Personnel; Prepare Forces and Employ Forces (DOD 1997:118). In essence the ETD process could be applied throughout all structures in the DOD as ETD happens all the time and everywhere in the organisation.

4.4.6   Summative Remarks

New national legislation and ETD concepts necessitated the DOD not only to produce departmental policy to create a new macro framework for ETD in the department, but also to be committed to improving the standard of training. This demanded that training courses are scientifically developed and that educational technology skills are continuously upgraded.

Although a new approach is applied to training and development in the DOD, training within the department will always include military specific characteristics. A hierarchical structure, military traditions, command and control systems, Services and Division requirements, a diversity of musterings, and a variety of military, functional and command and staff training opportunities, will always have an effect on training in a military environment. The ultimate aim of military training and development remains to equip soldiers with the unique competencies to be able to defend their country in times of external aggression.

Within this context soldiers will have to assess the standard and quality of their training in order to determine priorities for continuous improvement.

4.5   A NEW HUMAN RESOURCES STRATEGY FOR DEFENCE ACT PERSONNEL IN THE DEPARTMENT OF DEFENCE AND ITS IMPACT ON ETD

4.5.1 Introduction

In October 2000 the Council on Defence approved the implementation of a new system as to how members would serve within the SANDF with effect from 2003 (DOD 2000b). Subsequently, the provisions of the new service system have been incorporated into the Department of Defence's Human Resources Strategy 2010, which was approved by the Plenary Defence Staff Council and published as a Department of Defence Instruction (DODI) (DOD 2001).

This new service system represents a transformational initiative to empower the SANDF to develop a human resources composition that is qualitatively and quantitatively

sufficient to execute the DOD's mission. The system was specifically developed in response to the qualitative deterioration of a large segment of the SANDF's human resources composition, as well as the quantitative imbalance between the Regular Force and the Reserve Force.

Van Niekerk (2002:5) states that the new service system will lead to a fundamental change in the way that SANDF members will serve in the future. A new employment ethos will emerge, founded on short and medium term employment for the vast majority of current and future SANDF members, in contrast to the current employment ethos that is mainly founded on employment until retirement. The new employment ethos will, however, be characterised by a wealth of human resources development opportunities that will closely align the SANDF's efforts in this regard to the national government's human resources development strategy.

4.5.2   Synopsis of the New Service System's Provisions

Van Niekerk (2002: 4-6) summaries the key provisions of the new service system and the following aspects are relevant to this study:

- The replacement of the Flexible Term Service System by a three-tiered new service system, i.e. the Military Skills Development System (MSD), containing 40% of the Regular Force, the Core Service System (CSS), containing 40% of the Regular Force and the Senior Career System (SCS), containing 20% of the Regular Force by the end of the Financial Year 2006/07.
- The annual infusion of the Regular Force, as well as the Reserve Forces, with young, fit and healthy members by means of the MSD to ensure sufficient human resources for the SANDF's operational deployment requirements.
- The expansion of the DOD Youth Foundation Training Programme to advance representivity in the SANDF's combat and technical musterings and to comply with the SANDF's broad social upliftment responsibilities.
- The introduction of a short to medium term contract system for the CSS, offering flexible contracts ranging between 4 and 15 years at a time to the vast majority of the SANDF's officers up to the rank of Major and non-commissioned officers up to the rank of Staff-Sergeant, who are below the age of 45 years.

- The strict compliance with rank-age *versus* mustering pyramids as well as the introduction of a tenure in rank policy that will prescribe the maximum age and tenure of service in each rank.

- The establishment of a DOD Redeployment Agency that will be responsible for the continuous retraining and redeployment of SANDF members in the Core Service System whose service contracts expire and who are not granted subsequent contracts.

- The accreditation of SANDF members' prior learning and experience through SAQA to provide formal recognition for redeployment/alternative employment purposes.

- The development of an appropriate exit management dispensation for Core Service System members and early retirement incentives for Senior Career System members, in order to promote continuous vertical mobility and prevent stagnation.

An important fact for this research project is that the key implementation provision for this new service system requires that currently serving Regular Force members who do not comply with the utilisation profiles that are envisaged will have to be retrained in order to be redeployed or alternatively employed. This will be necessary to create the necessary organisational and financial capacity to phase in the new service system. It also implies that military as well as non-military education, training and development in the SANDF will become more closely aligned with national training and development initiatives. The SANDF will also become more pronounced as an agent of national human resources development, by continuously infusing the labour market with young to relatively youthful value-added personnel (DOD 2002:8).

According to a Framework Agreement of the Public Service Coordinating Bargaining Council (South Africa 2002), employees who cannot be redeployed to other State Departments, need to be equipped with life skills and portable skills, that assist them "…in the choices they have to make between further skills training, small, micro and medium term enterprise training and/or finding new employment" (South Africa 2002:18). A social plan must furthermore "…ensure certification of prior learning to facilitate new employment, facilitate links with local business service centres or other appropriate support institutions and advise affected employees on available placement service agencies to facilitate new employment opportunities" (DOD 2002:18-19).

4.5.3   Training in the South African National Defence Force and the National Skills Base

It can be expected that the availability of skilled labourers in South Africa will play a determining role with regard to the effective functioning of the SANDF's new service system. On the one hand, the quality of the national skills base will determine the quality of human resources inputs into the new service system and on the other hand, the skills levels will determine the nature of retraining and alternative employment of SANDF personnel, as envisaged by the provisions of the new service system (Van Niekerk 2002:13).

With the increasing demand for improved skills, it can be expected that employers, such as the SANDF, who offer professional, managerial and technical education, training and development opportunities as part of employment contracts, will increasingly become highly sought after. The increasing skills portability and the shortage of appropriately qualified school leavers, will also necessitate that employers adopt innovative means to meet their own human resources requirements and to comply with their social responsibilities towards civil society (Van Niekerk 2002:15).

4.5.4   Summative Remarks

The new service system that was implemented in the DOD will not only change the way that SANDF members will be employed in the future, but will also demand a new approach to human resources training and development opportunities. Unlike in the past, this system requires that training and development in the SANDF become more closely aligned with national training and development initiatives. The rotation of members serving within the SANDF adds to the significance that the SANDF will become more prominent as an agent of national human resources development. This will also provide the individual members within the DOD with greater mobility in their work environment within the DOD, other State departments or the private sector.

4.6 THE SOUTH AFRICAN QUALIFICATIONS AUTHORITY AND QUALITY ASSURANCE IN EDUCATION TRAINING AND DEVELOPMENT IN THE DOD

4.6.1 Preface

SAQA was established In order to be able to ensure that education and training practices and qualifications in South Africa meet national and international criteria. SAQA has the function to oversee the development and implementation of the NQF (Coetzee 2002:14).

Meyer (2002:267-268) states that as the ETD function in South Africa changes from traditional training management to quality management, the organisation will embark on a road to transformation. This fundamental form of transformation requires the creation of a new organisational culture, one that will differ significantly in the way ETD is implemented. The NQF embodies a paradigm shift with regard to the quality of ETD and if quality becomes the focus, then continuous improvement will form the cornerstone of the new ETD quality management system. The role of ETD is therefore of paramount importance in supporting the company's quality management strategy and to ensuring that ETD meets the quality requirements of SAQA.

4.6.2 The NQF and Quality Assurance

The NQF in South Africa is a social construct (SAQA 2000:3) whose meaning is negotiated by the citizens. The country now has an integrated system of lifelong learning that brings together a variety of worldviews and experiences to a unifying system of standards in which quality is at the core of the new system of outcomes-based learning. This integrated system of quality (SAQA 2000:3) focuses on the following two main elements of quality in ETD:

- <u>Standards</u> are needed for the units and qualifications registered on the NQF.
- <u>Quality assurance mechanisms</u> are required for learning and assessment provision.

Standards and quality assurance are therefore the core components of the quality framework.

For the NQF to have credibility as a quality system, it must provide quality that benefits all South Africans. In order to have quality impact, standards generated by the NQF structures need to be provided and assessed in ways which assure all users of the NQF that such standards will be achieved, maintained and periodically reviewed for continuous improvement. Structures and processes required for developing the NQF unit standards and qualifications, with their assessment and accreditation requirements, are overlaid with the structures and processes required for ensuring the provision and achievement of such standards and qualifications (SAQA 2000:7).

Quality should be seen as an ongoing event or a system of continuous improvement. That is why SAQA refers to its approach to quality as a 'quality spiral'. This will ensure the regular review of standards and qualifications in order to improve them continuously (SAQA 2000:7-8).

For SAQA (2001b:9) quality assurance refers to the sum of the activities that assure the quality of products and services at the time of delivery. Quality assurance is an element of, but not the totality of, a quality management system.

Meyer (2002:275) states that structures and processes are required to implement the quality assurance system of the NQF. These structures are the National Standards Bodies (NSBs), responsible for the registration of standards in the different learning fields and Standard Generating Bodies (SGBs) that must ensure that standards are registered on the NQF. A quality management system is implemented for the accreditation, monitoring and auditing of Education and Training Quality Assurance (ETQA) bodies and providers. The quality assurance system also deals with the assessment of learners and learning achievements. It is evident that ETQAs therefore play a very important role in quality assurance. They are responsible for the quality assurance of a range of reporting requirements related to the specific standards and qualifications for whose quality assurance they are accountable.

Implicit in SAQA's implementation of a total quality system for the NQF is the understanding that quality assurance, quality management and accreditation are not 'things', 'products' or 'services', but rather that quality is a process (Meyer 2000:10). According to Meyer et al. (2002:277) the quality spiral discussed previously can be

presented as indicated in figure 4.1.

The quality of the product or outcome is the primary responsibility of NSBs and SGBs because they have to ensure that quality standards are generated and registered. The quality of inputs and processes is the primary responsibility of ETQAs and providers of learning, as is also the case with the establishment and maintenance of quality management systems. What is important to realise is that the quality of products or outcomes will have an impact on quality of the inputs and processes as they lay the foundation for the nature of inputs and processes required to achieve the products or outcomes. Similarly, the quality of the inputs and processes will have an impact on the quality of the products or outcomes in that it is the quality assurance of the inputs and processes that the appropriateness of the design and the personal and national socio-political relevance of an outcome can be determined (SAQA 2000:10).

Figure 4.1   The Integrated Quality Process for ETD
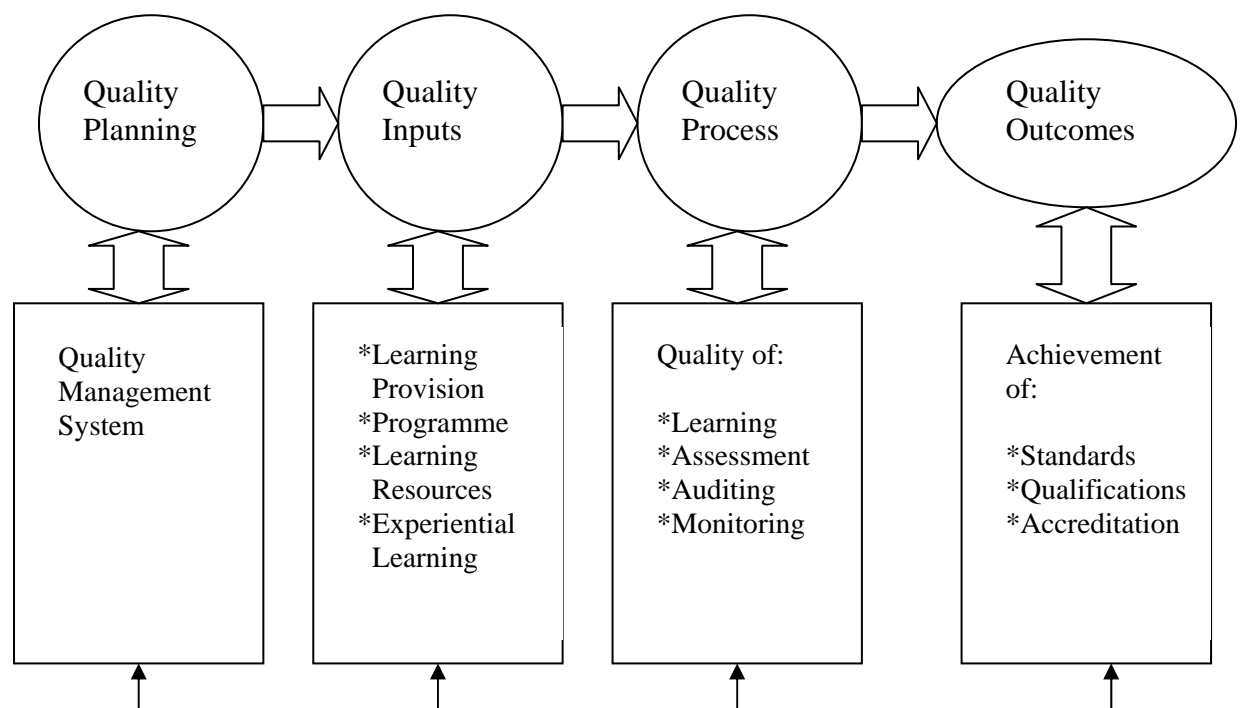
Source: Meyer, Mabaso and Lancaster (2002:277)

In essence, a set of quality assurance and quality management activities emerges which includes input and outcome assessments and evaluations, quality checks and controls, as well as the quality management of all ETD processes (for example, learning needs

analysis, learning design, learning delivery and ultimately evaluation of leaning) (Meyer et al. 2002:278).

4.6.3 SAQA's Approaches to Quality Assurance

The SAQA document, *Quality Management Systems for Education and Training Providers* (SAQA 2001a:15-17), highlights two dominant approaches of quality assurance and management within SAQA. These are the TQM and CTS approaches. In the TQM model, quality is more than just meeting the requirements of particular criteria or standards. Quality, within the TQM model, is about systemic transformation. The CTS approach, on the other hand, is more rigid and technical to ensure the conformance to predetermined standards or specifications.

The NQF and the SAQA Act of 1995 (South Africa 1995) are explicit that at the heart of the proposed orientation to quality within the South African education and training context, is the concept of transformation (SAQA 2001a:15). This expression of transformation is consistent with the TQM model as it implies continuous change to improve performance.

SAQA has also outlined quality indicators such as learner-centredness, relevance, democratic ways of operating, flexibility within the system, increasing access, transparency, accountability, recognition of prior learning and critical learning and teaching styles, as SAQA's sense of quality. Although most of these quality indicators are relevant in a TQM approach, some indicators also suggest that in some respects SAQA also uses the Conformance to Specifications (CTS) model, as SAQA is fundamentally an accreditation body charged with the responsibility to specify what will and what will not be certified and on what grounds (SAQA 2001a:16-17).

Therefore, SAQA, (2001a:17) recognises that its quality management approaches are developed from both a CTS and a TQM point of view, or from a combination of both. SAQA therefore integrates both the TQM and CTS models as a 'mixed model', in its definition of quality.

4.6.4   SAQA and ETD in the DOD

The Constitution of South Africa now establishes a framework for democratic civil-military relations where the Defence Force is obliged to perform its functions in accordance with law (see section 4.1.2). This implies that training and development within the DOD have been greatly influenced by a new approach of openness and transparency into matters of the department, as well as the new national legislation regarding ETD. The SANDF was therefore challenged to also apply quality management in the field of ETD when the SAQA Act was published. Documents such as the White Paper on Defence (1996) and the Defence Review (1998) now entailed comprehensive long-range planning on such matters as education and training within a transformed DOD.

The new service system (see section 4.5) is characterised by a wealth of human resources development opportunities that will closely align the SANDF's efforts in this regard to the national government's human resources development strategy (Van Niekerk 2002:5). It also implies that military as well as non-military ETD in the SANDF will become more closely aligned with national training and development initiatives. With the increasing demand for improved skills, it can be expected that employers, such as the SANDF, who offer professional, managerial and technical education, training and development opportunities as part of employment contracts, will increasingly become highly sought after (Van Niekerk 2002:15).

Training units within the SANDF must as a result make provision to obtain accreditation of training within the framework of SAQA, and thereby gaining access to the NQF. This will provide the individual member with greater mobility in the work environment (see section 4.3.2.2). As the NQF provides for a culture of life-long learning, this can be achieved by aligning DOD ETD with the NQF (DOD 2003:1). This new national legislation and ETD concepts necessitated the DOD not only to produce departmental policy to create a new macro framework for ETD in the department, but also to be committed to improving the standard of training (see section 4.1.2).

The concept of standards within the SANDF has various meanings amongst the different stakeholders and training standards in the SANDF are therefore measured in three dimensions (see section 4.3.2.3). The first dimension involves the competency required for a given operational mission. The second dimension refers to internationally verifiable

standards, which are particularly important to ensure cooperation, for example in peace support operations. The final dimension entails statutory standards that are laid down by statutory bodies such as medical councils, or international bodies, such as the ICAO. Those members of the SANDF who are engaged in these types of work need to be trained to the standards set by those statutory or international bodies (DOD 1998:84).

Two vital components of assuring quality in ETD namely the setting of standards and accreditation of providers are both addressed as important issues within the DOD. Members of the DOD have been seriously involved in generating relevant Unit Standards within a range of Standard Generating Bodies (SGBs). Most ETD practitioners within the DOD were involved in SGBs registered under Organising Field 08 which includes fields like Sovereignty of the State, Safety in Society and Justice in Society. These SGBs included the Combat GSB, Combat Service Support GSB and Military Professional Development SGB. Members of the DOD, however, also participated in SGBs registered under other Organising Fields (DOD 2005a:1-2). By June 2005 the fifty-six (56) ETD providers in the DOD were in different stages of applying and achieving SAQA accreditation. The accreditation applications of thirty-nine (39) providers were in process, fifteen (15) were already provisionally accredited by relevant SETAs, while one unit, the SANDF College of Educational Technology (COLET), was already fully accredited (DOD 2005b:1-3). COLET was accredited in March 2003 and currently accredited to provide 17 Unit Standard based courses.

Although this new approach is applied to training and development in the DOD, training within the department will always include a military culture with unique characteristics that would influence training in a military environment. Specific training programmes would in future have to prepare military personnel for regional security co-operation and involvement in international peace support operations, but the ultimate aim of military training and development will remain to equip soldiers with the unique competencies to be able to defend their country in times of external aggression. Within this context soldiers will have to assess the standard and quality of their training in order to determine priorities for continuous improvement.

4.6.5   Summative Remarks

A culture of understanding and implementing effective quality management in ETD must enhance ETD functions to meet the requirements of SAQA and also improve the quality of ETD products and services. These improved ETD products and services would address the social-political need for transformation, have an effect on economic growth, address needs within the labour market and encourage a culture of life-long learning in learners.

The generating of national and international recognized and credible standards must however be supported by quality assurance systems that are professionally implemented not only to audit or monitor learner achievements but also to address the needs of all stakeholders and clients.

4.7   THE ROLE OF ETD IN THE DEPARTMENT OF DEFENCE'S CONTINUOUS PERFORMANCE IMPROVEMENT PROGRAMME

4.7.1   Introduction

One of the most important tasks of the DOD is to build a system capable of delivering outputs that adhere to required standards and levels of quality. The White Paper on Transforming Public Service Delivery, the New Public Service Act and regulations issued from the act, the Public Finance Service Act and Treasury Instructions all call for improved performance and quality of service delivery (DOD 2000a:vi).

With the institutionalisation of performance management in the DOD and the impact of new legislative controls on the DOD, a need arose to redesign the DOD Continuous Performance Improvement Programme, which included the annual Competition and Awards, to fit the strategic intent of a newly transformed DOD (DOD 2000a:x).

Subsequently, the senior leadership have committed themselves to continuous performance improvement in order for the DOD to become the leading government department in the RSA with regard to performance results. The Defence Staff Council (DSC) has confirmed this commitment by approving a system to monitor performance continuously and holistically by means of benchmarking and applying best management

practices in the DOD. This approach has gathered momentum through the following statement of the previous Chief of the SANDF, General Siphiwe Nyanda (DOD 2000a:x-xi):

> The SANDF will be a learning organisation practising continuous performance improvement. We depart from a solid base of excellent people and practices. We will benchmark against the best, and the time is not far off when the best will benchmark against us!

Based upon the above, the Secretary of Defence (SecDef) declared TQM as the official management philosophy and system of the DOD. The DOD's TQM principles are the departure points for the implementation, facilitation and management of the DOD Continuous Performance Improvement Programme (DOD 2000a:vi).

The Department of Defence Instruction (DODI): Policy and Planning No 24/2000, was authorised and issued for implementation in the Department of Defence and was effective from 1 June 2000. The aim of this policy on the DOD Continuous Performance Improvement Programme is to ensure the institutionalisation of the best continuous performance practices in the DOD. The policy further mandates the introduction of the DOD's own Suggestion System, Continuous Performance Improvement Competition and an annual Quality Awards Ceremony (DOD 2000a:vii).

This Instruction calls for improved performance and quality of service delivery and the programme is to ensure the institutionalisation of the best continuous performance practices in the DOD. The Instruction also clearly states that this programme must be implemented by all Chiefs of DOD Defence Divisions and Chiefs of Services, and executed down to the lowest applicable levels of command and management (DOD 2000a:i). This will imply that all training units within the SANDF are also obligated to adhere to this instruction and implement a Continuous Performance Improvement Programme in the unit.

The Chief of Joint Training has delegated this responsibility to the Senior Staff Officer Performance Management who must liaise with all the Units under his command to implement this instruction.

The programme is intended to promote TQM principles in the DOD and as such by means of the criteria as indicated by the South African Performance Excellence Model (DOD 2000a:xi).

4.7.2   Aim and Objectives of Implementing a Continuous Performance Improvement Programme in the DOD

The aim of the DOD Continuous Performance Improvement Programme is to give recognition to all participating elements within the DOD and employees who have significantly contributed towards enhancing performance in the DOD (ibid 2000a:xi).

The DODI (DOD 2000a:xi) states that the DOD Continuous Performance Improvement Programme Competition has the following objectives:

- To give emphasis to the overall drive towards continuous improvement in the DOD.
- To establish a performance improvement culture and an operating working ethic amongst all DOD employees.
- To establish a sense of ownership for performance improvement from the highest leadership level to the most junior levels.
- To encourage participation in continuous improvement programmes within the DOD and thereby positioning the DOD favourably to participate at National level.
- To improve the DOD's image as a Department which performs effectively and efficiently.
- To support the implementation of self-management teams on a decentralised manner through performance accounting.

4.7.3   Participation and Competition Categories

All establishments within the DOD are eligible to enter the DOD Continuous Performance Improvement Programme Competition. During the annual DOD Continuous Performance Improvement Programme Competition and Quality Awards Function, the following categories of recognition are given to achievers for performance improvement:

- *Category I*. Award for Supreme Performance Excellence.
- *Category II*. Gold Award for Performance Excellence.
- *Category III*. Silver and Bronze Awards for Performance Improvement.
- *Category IV*. Best Suggestion by a Single Person or Group.
- *Category V*. The Best Suggestion Contributed by a Non-Employee or Group (DOD 2000a:xii).

4.7.4 Evaluation of Performance Improvement

All entries are to be evaluated on a point system, as described by the South African Excellence Foundation and the South African Performance Excellence Model. The information obtained by the self-assessment processes needs to be drafted into an entry submission. This phase is followed by an initial paper evaluation from which specific finalists could be followed by a final evaluation in loco (DOD 2000a:xii-xiii).

4.7.5 Summative Remarks

A need arose to redesign the DOD's Continuous Performance Improvement Programme in order to address the impact of new legislative controls and institutionalise performance management in the department.

Senior leadership in the department committed themselves to continuous performance improvement. A Department of Defence Instruction was authorised to this effect and issued for implementation in the department from 1 June 2000 (DOD 2000a:vii). The aim of this instruction is to ensure the institutionalisation of the best continuous performance practices and to give recognition to all participating elements and employees in the DOD who have significantly contributed towards enhancing performance. The instruction, which emphasises the overall drive towards continuous improvement and aims to establish a performance improvement culture amongst all DOD employees, is based on the South African Excellence Model. This model and point system was developed by the SA Excellence Foundation (SAEF 2001a).

Although al divisions, formations and units in the SANDF must adhere to this DODI, the Training Units can play an important role in establishing and developing a culture of

performance improvement in the organisation. Commitment to an approach of continuous performance improvement by members of training units could affect all members attending courses at these units. Not only could training units become benchmarks for performance improvement in their formations and services but research and development personnel at these units could include the approach in curricula and present modules on continuous performance improvement on supervisors and command and staff training courses. Training units can thereby assist in creating a learning organisation practicing continuous performance improvement.

4.8   OVERARCHING POLICY FOR EDUCATION, TRAINING AND DEVELOPMENT IN THE DOD

4.8.1   Introduction

In the previous sections of this chapter it was demonstrated how the new role of the SANDF in a democracy required an investigation of the status of ETD in the department. It was also indicated that a changing human resources strategy, new ETD legislation and the implementation of a TQM approach and search for performance improvement, all impacted on ETD provision in the SANDF.

These developments created the need for a departmental policy or Department of Defence Instruction (DODI) in order to create a macro framework for ETD in the DOD. This policy provides a common frame of reference and understanding amongst DOD ETD Providers and provides an overarching framework from which subsequent and specific joint common and unique ETD policies can be developed.

All ETD Providers in the DOD must comply with and implement these ETD policy instructions to ensure that effective, efficient and economic use of resources is achieved in the DOD ETD environment. This will pave the way to a quality-driven and professional ETD system, process and Service in the DOD (DOD 2003:1).

4.8.2   Policy Statement

The Overarching Policy For Education, Training And Development in the DOD is a capstone DOD policy to which all other DOD ETD policies must align and comply.

Service and Division Chiefs must formulate their own ETD Policies, which shall be aligned and compliant with this policy. This DODI guides the revision of current policies. It introduces and implements policies and procedures aimed at sustaining the DOD ETD system as a dynamic, needs-based and pro-active instrument, capable of playing an integral and strategic part in the processes of a transformed DOD society in South Africa (DOD 2003:1-2).

4.8.3   Outcomes of the Overarching ETD Policy

The effective implementation of this DODI aims to accomplish the following outcomes:

- Provide the framework for developing a professional ETD capacity and promote comparable ETD service delivery.
- Promote an integrated ETD strategic approach in addressing DOD personnel developmental needs.
- Enable effective consultation with all stakeholders to determine the optimal fit between the personnel developmental needs of DOD personnel, posts, the organisation and the environment.
- Enable the coordination, monitoring and evaluation of learning activities through a representative, advisory body.
- Facilitate access, mobility and progression within every individual's learning and career paths.
- Create a culture of life-long learning.
- Promote fair and transparent ETD practices.
- Ensure that the DOD ETD system functions optimally at the desired (specified) level of performance and integrity (DOD 2003:2).

4.8.4   Regulatory Framework of the Policy

The following aspects regulated the formulation of the Overarching ETD Policy of the DOD (DOD 2003:3-4).

4.8.4.1   <u>Statutory Requirement and Legal Imperatives</u>

The DOD is charged with the responsibility to implement the requirements of the new national legislative framework as set out by the SAQA Act (South Africa 1995) and the Skills Development Act (South Africa 1998). The DOD is obliged to respond to legislative imperatives by aligning the DOD ETD system to these statutory requirements.

4.8.4.2   <u>Imperatives from Transformation</u>

DOD ETD environments and ETDPs should ensure that the DOD ETD System and Process results contribute to an effective cohesive DOD team and joint SANDF fighting force. The DOD ETD System and Process must be focused as well as output and outcomes driven in order to build individual and organisational capacity.

4.8.4.3   <u>DOD Philosophy for ETD</u>

The DOD shall align its ETD approach to the SAQA Act (South Africa 1995) and the South African Skills Development Act (South Africa 1998). The efficiency of the application of knowledge, skills and attributes in the workplace as acquired in the learning process shall be the focus of performance assessment of the DOD ETD System.

4.8.4.4   <u>Specific Policy Needs and Issues Impacting on the ETD Environment</u>

In the Constitution the values of human dignity, equality, freedom and social justice in a united, non-racial and non-sexist society are enshrined. Therefore, formal and informal ETD environments are to remain sensitive to these relevant policies.

4.8.5   The DOD ETD System

Although Chief Joint Training is the primary DOD ETD System owner, ETD in all services and divisions form part of this system regarding their own unique operating environment.

All ETD Providers within the DOD ETD System shall follow the DOD ETD Process and abide by and implement these instructions to ensure a well-coordinated professional DOD ETD System, Process and Service (DOD 2003:4).

4.8.6 Environment Conducive to ETD

The Overarching Policy for ETD in the DOD (DOD 2003:6) states that the DOD ETD System shall strive to be aligned with the latest advancements in ETD technology with respect to establishing environments that are appropriate to the need of the clients, safe and also conducive to learning. All DOD formal learning environments shall be so designed utilising NQF principles and the requirements of Outcomes Based Education and Training (OBET) to encourage continuous improvement and life-long learning. Where ETD activities may have a direct impact on the environment (land, sea, air), ETD Practitioners shall act in compliance with the environmental obligations stated by government and international regulatory provisions and DOD prescripts.

The Policy prescribes (DOD 2003:6-9) that the following factors should be taken into account when designing, and presenting ETD opportunities:

4.8.6.1 <u>Requirement for Facilitators of Learning</u>

In accordance with the prescripts and requirements for accreditation and quality assurance all DOD learning and ETD environments need to ensure the availability of a suitably qualified and registered ETD practitioner (ETDP) to oversee the process of learning. ETDPs must be appropriately qualified as facilitators and assessors of learning and be competent in their specialist field at the appropriate NQF level.

4.8.6.2 <u>Learning Opportunities and the Learner Body</u>

The Learner Body is regarded as a *de facto* and integral part of the ETD system whilst exposed to a learning opportunity. This approach is to ensure that provision is made in the workplace for nominated learners to be allowed adequate time to meet preparatory requirements and post learning assignments of formal learning environments. This approach includes the following:

- Distance learning could be used as method of instruction.

- Learning opportunities shall be designed to ensure that the required competencies that are transferred are congruent with ETD client specifications and needs.

- The design of learning opportunities shall be described in adequate curricula that shall be approved by Chief Joint Training in collaboration with Service and Division Chiefs.

- Learning opportunities shall be presented in accordance with approved curricula, regulations and design specifications.

- Appropriate and regular research shall be conducted to update curricula on a continuous basis.

- All DOD learning environments shall ensure that adequate and appropriate learner support forms part of the individual's performance, evaluation and assessment in that learning environment. To assist this requirement the application of approved DOD policy on mentoring and coaching shall be fully utilised.

- Every DOD learning environment shall apply the principles of equity, balance and redress with respect to learning performance and the achievement of competencies.

4.8.6.3 Learning Pathways

Learning Pathways that describe the fullest possible sequential description of numerous learning opportunities that focus on competency development, personal development and professional development should be developed, in accordance with DOD needs.

4.8.6.4 Recognition of Prior Learning

Recognition of prior learning, outcomes and competence-based assessment, accreditation and certification and portability of qualifications are all aimed at empowering DOD personnel and the labour force of South Africa in compliance with both national and international standards.

4.8.6.5   Civic Responsibility of the DOD ETD Environment

In their design of learning pathways and learning opportunities, formal ETD
environments must ensure that adequate attention is paid to providing portable
competencies that empower learners to also provide expression outside of the
defence sector. By optimising access to learning, the DOD's could contribute to
wider national goals of nation building.

4.8.6.6   Provision of ETD Service: External Interface

The DOD may provide ETD Service to or obtain accredited ETD services from
external ETD institutions.

4.8.7   Evaluation of the DOD ETD System

Chief Joint Training is responsible to develop a policy to communicate how the integrity of
the ETD system is maintained and managed while Service and Division Chiefs are
required to develop and maintain specific research and development capabilities to
ensure DOD ETD System quality and vitality for ETD environments under their areas of
responsibility (DOD 2003:9).

4.8.8   ETD Evaluation and Assessment

The Chief of Joint Training is also mandated to oversee all DOD ETD environments and
must therefore develop an ETD Evaluation and Assessment Policy, in alignment with
SAQA and NQF stipulations, and other relevant legislation (DOD 2003:9).

4.8.9   Summative Remarks

It is imperative that ETD in the DOD is aligned with the national regulatory framework as
well as the DOD's own prescripts, strategy and processes. These new demands
necessitated the DOD not only to produce departmental policy to create a new macro
framework for ETD in the department, but also to be committed to improving the standard
of training. Therefore a requirement existed for a departmental policy or Department of

Defence Instruction to create this framework for education, training and development in the DOD in order to provide a common frame of reference and understanding amongst DOD ETD providers. The Overarching ETD Policy presented a basis from which subsequent and specific joint common and unique ETD policies can be developed.

The effective implementation of this Policy will provide the framework for developing a professional ETD capacity and enable the coordination, monitoring and evaluation of learning activities within the department.

4.9   SUMMARY

The new functions and roles of a transforming SANDF within an internationally accepted democracy have demanded a new approach to and a renovation of the training function within the department.

As the new constitution enshrines fundamental rights and emphasises openness and accountability in the affairs of government, the DOD is also subject to the control and oversight of the civilian authority, and obliged to perform its functions in accordance with the new national legislation regarding ETD. Provision must now be made to obtain accreditation of training at SAQA, thereby gaining access to the NQF.

A new service system in the DOD affects the way that SANDF members will be employed in the future. This new service system also demands a new approach to human resources training and development and requires that training and development in the SANDF in future become more closely aligned with national training and development strategies. The fact that members will be serving for shorter terms, will add the consequence that the SANDF will become more important as a partner of national human resources development. Members trained in a military environment will now find themselves competing for positions within the DOD, other State departments or even the private sector, with those who received their qualifications at non-military institutions.

New demands required that the DOD produce a departmental policy in order to create a new macro framework for ETD in the department. The commitment to improving the standard of training in the department also demanded that training courses are scientifically developed and that educational technology skills are continuously upgraded.

New national legislation and ETD concepts have influenced and changed the approach to training and development in the DOD, but training within the department will always include military specific characteristics that would have an effect on training within a military environment. The ultimate aim of military training and development remains to equip soldiers with the competencies that would enable them to defend their country in times of external aggression.

4.10   CONCLUSION

As new national legislation calls for transparency into the affairs of the department of defence as well as a new approach to ETD, improved performance and quality of service delivery must continuously be assessed to determine whether training and development within the department is still credible and realistic for achieving the required competences for mission readiness.

Although external audits or inspections are procedure within the DOD, all training units within the department will also have to utilise a form of self-assessment to periodically ensure the maintenance of required standards and the continuous improvement of their performance. These self-assessments will have to involve members from all levels in the training units in the DOD in order to review processes and results systematically. Involving members by means of a self-assessment process must be the starting point for a structured approach to continuous improvement of ETD in the department.

In self-assessing organisational performance excellence of training units within the DOD, departmental policy prescribes a positioning against the South African Excellence Model (see section 3.4) as framework for focusing on strengths and areas of improvement (SAEF 2001a).

Using organisational self-assessment techniques and instruments for assessing the level of excellence in training units within the DOD will not only provide units with data to determine strengths and areas for improvement but also enhance their ability to utilise the South African Excellence model in performance improvement programmes.

The aim of this chapter was to give the reader an overview of the military environment within which this research was conducted, in order to provide the context in which self-assessment as component of a Continuous Performance Improvement Strategy and Quality Assurance of ETD, was investigated. It was, however, also demonstrated that the Defence policy should be in harmony with all other aspects of government policy and that training and development within the DOD have been greatly influenced by the new national legislation regarding ETD and the latest approach of openness and transparency into matters of the department. For this reason the findings and recommendations of this study would have a broader impact and could also be applied by all ETD providers within a South African context.

The following chapter discusses a case study where the reliability and validity of the self-assessment process and results were investigated.

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CHAPTER 5

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ORGANISATIONAL SELF-ASSESSMENT IN A TRAINING UNIT AS PART OF THE SOUTH AFRICAN NATIONAL DEFENCE FORCE'S CONTINUOUS PERFORMANCE IMPROVEMENT PROGRAMME – A CASE STUDY

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5.1   INTRODUCTION

It was mentioned in section 2.1 that performance management has seen the introduction of the search for excellence movement and the concern for quality. The continuous conformance to customer expectations implies that no organisation can rely on their achievements in the past, but must search for continuous improvement to stay competitive in its field. Pursuing constant change and improvement requires that quality assurance should focus on the future and anticipate improvement actions needed to achieve the accepted level of quality at the time of service delivery. This approach to quality promotes and supposedly ensures continuous organisational performance improvement, and a growing number of organisations are exploring the use of excellence models and institutional self-assessment approaches to remain competitive in a changing global market.

As was also indicated (see section 2.3.1.6), it is unlikely to identify a particular method of organisational self-assessment, which will always provide the required data at all levels in all organisations. Each organisation will therefore need to develop a method or a combination of methods, which will meet its own requirements and circumstances.

In selecting a method for organisational self-assessment an organisation will have to consider various implications. These considerations need to be set within the context of the organisation's culture and the desired outcomes from the process and must also include the thoroughness, reliability and accuracy of the outcomes of the self-assessment, the structure of the organisation, the benefits desired, the possible additional workload, and resources as well as time available. When selecting an approach to organisational self-assessment, not only the methods but also the framework and criteria for assessment must be accepted by management and understood by all the members

involved in the self-assessment. The self-assessment methods selected may have to be adapted to specific organisational settings, and sections could also be used to meet a variety of organisational needs. It could thus be necessary to design or adjust some criteria and/or the scoring system to suit the particular situation and goals of the organisation. The selected method or combination of methods must be systematic and should be used by management with the emphasis on linking the self-assessment results to continuous improvement actions within the business planning process.

Although deciding to conduct organisational self-assessment and planning and performing a first assessment may have significant benefits of determining levels of performance at a given time, it is important to realise that only when constantly conducting new cycles of self-assessment (see section 2.3.1.8), will the organisation be able to determine whether the desired and planned improvements have been achieved. Self-assessment is therefore not a short-term solution but must change the way people are thinking and requires continuous efforts and participation by all members within the organisation.

When performing self-assessment of performance excellence, as part of the Department of Defence's Performance Improvement Strategy (see section 4.1.1), ETD units in the SANDF are required to utilise the concepts, framework and assessment criteria of the South African Excellence Model (DOD 2000a:xi). This model provides the management of these units with a framework to identify a range of intangible and tangible processes, which influence their approach to quality and the quality of the final ETD services. In addition, the units will be provided with a set of internationally accepted criteria to identify organisational strengths and weaknesses. Addressing these strengths and weaknesses will be a powerful mechanism for future improvements.

In the ETD environment in South Africa quality assurance has emerged as a primary instrument for evaluating performance and accountability, and the South African government and SAQA and its structures are explicit through policy about what they require from ETD providers as institutional quality assurance will always be conducted as part of a larger national quality management system (see section 2.2.3.4). When assessing quality and levels of performance within training units of the SANDF, national legislation and policies will therefore also have to receive special attention.

The success of any self-assessment will be based on the quality of data gathering and data analysis and this implies that thorough institutional research has to be conducted if reliable and valid results are to be obtained.

The aim of this chapter is to describe the empirical part of this study. After examining the use of a case study as research strategy, a case study was selected to address the following research problem mentioned in section 1.3.2.1:

> *What is the appropriateness and significance of using organisational self-assessment as component of a Continuous Performance Improvement Strategy and Quality Assurance of Education, Training and Development within the South African Department of Defence?*

From this main problem the sub-problems were deduced. The following sub-problems were relevant to this empirical part of the study:

- **Sub-problem 3**

  Does the currently available South African Excellence Foundation organisational self-assessment questionnaire, originally developed for and used by manufacturing companies, provide the evidence to accurately evaluate the levels of performance at training units of the SANDF?

- **Sub-problem 4**

  How could one optimally ensure the reliability of results of an organisational self-assessment by Education Training and Development (ETD) providers as part of a Continuous Performance Improvement Strategy of the South African Department of Defence?
  This sub-problem also initiated the following questions:

  - Sub-problem 4.1. Can a self-assessment questionnaire that is customised to address the needs and culture of ETD units in the SANDF, enhance the quality of the responses?

o <u>Sub-problem 4.2.</u> What will the significance of using a workshop as method of organisational self-assessment be?

- **Sub-problem 5**

To what extent should organisational self-assessment support a strategy of continuous performance improvement?
This sub-problem also included the following questions:

o <u>Sub-problem 5.1.</u> To what extent could oganisational self-assessment accurately identify required end states and address the ways and means to continuously improve performance?
o <u>Sub-problem 5.2.</u> Can organisational self-assessment assist in tracking improvement or progress over time?

- **Sub-problem 6**

Can organisational self-assessment provide additional benefits to ETD providers in the South African Department of Defence? This research sub-problem included:

o <u>Sub-problem 6.1.</u> To what extent can organisational self-assessment help to empower the workforce?
o <u>Sub-problem 6.2.</u> Could organisational self-assessment increase commitment and passion for continuous performance improvement?
o <u>Sub-problem 6.3.</u> To what extent can organisational self-assessment promote organisational learning by enhancing the members' understanding of the key basic concepts and criteria of the South African Excellence Model?

A case study provided the means for an extensive description and a contextual analysis to articulate the complex issues of self-assessment and the implementation of a continuous performance improvement programme.

5.2 THE CASE STUDY AS RESEARCH STRATEGY

5.2.1 Introduction

For a researcher to observe and measure variation in the different variables involved in the research, every project requires a research design that is carefully tailored to the needs of the research problem that is addressed. Bless and Higson-Smith (2000:67) believe that the case study is most often used to determine whether an event (or intervention) has any effect upon a group of subjects. They continue by stating that if the case lacks an initial measure of functioning, often referred to as the "baseline", it is very difficult to convincingly demonstrate change resulting from the event. To solve this problem a pre-test/post-test design could be used to measure the dependent variable before (pre-test or baseline) and after (post test) the event that is expected to bring about possible change. As a result, the scores on the dependent measure can be compared over two points of time and the difference between the before and after scores may be due to the event that occurred between them (Bless & Higson-Smith 2000:68).

De Vos, Strydom, Fouché and Delport (2003:275-276) state that in a case study the exploration and description of the specific case take place through detailed in-depth data collection methods, involving multiple sources of information that are rich in context. The researcher needs access to, and the confidence of, participants. The product of this research is an in-depth description of the case. The researcher places the case within its larger context and usually seeks to enter the field with knowledge of the relevant literature before conducting the field research. A case study is therefore the observation of a process, activity, event, programme or individual bound within a specific time and setting.

Although case studies tend to be selective, focusing on one or two issues that are fundamental to understanding the system being examined, each individual case study consists of a 'whole' study, in which facts are gathered from various sources and conclusions drawn on those facts (Tellis 1997a). A case study is therefore an ideal methodology when a holistic, in-depth investigation is needed and is designed to bring out the details from the viewpoint of the participants by using multiple sources of data (Tellis 1997b).

Case studies for these reasons involve a particular method of research. Rather than

using large samples and following a rigid protocol to examine a limited number of variables, case study methods can involve an in-depth, longitudinal examination of a single instance, event or case. They provide a systematic way of looking at events, collecting data, analysing information and reporting the results. As a result the researcher may gain a sharpened understanding of why the instance happened as it did, and what might become important to look at more extensively in future research (Wikipedia 2005).

5.2.2   Possible Concerns when Using a Case Study

The use of a case study design may raise some concerns. Bless and Higson-Smith (2000:69) mention different changes that may take place within the case being studied that could be responsible for the changes in the dependent variables. This is particularly true when a long period of time has elapsed between pre- and post-tests. These changes that might be confounding the study are of two different types: those, which occur within the environment (history) and those, which occur within the subjects (maturation, test effect and regression towards the mean). De Vos et al. (2003:281) warn that reliability and validity can also become threats in a case study, as it is impossible to arrange for repeating the exact situation in order to reach the same results as in the original study. The aim of this case study was, however, not experimental in nature but to determine the relationship between a few identified variables. An emergent research design that included elements of both participatory research and action research was selected to benefit from the advantages that are mentioned in section 5.2.3.

5.2.3   Advantages of Using a Case Study

Examining a case study presents the researcher with the opportunity to become a participant observer who could focus on explaining a natural occurrence as a phenomenon within the everyday and natural experiences of the participants. Participant observation thus provides a unique mode of observation in which the researcher may actually participate in the events being studied.

Tellis (1997a) believes that case studies go beyond the quantitative statistical results and attempt to explain conditions through the perspective of the 'actors' in the case. Thus, case study evaluations can cover both processes and outcomes, because they can include both quantitative and qualitative data.

Neuman (2003:33) adds that a case study uses the logic of analytic instead of enumerative induction. In it, the researcher carefully selects one or a few key cases to illustrate an issue and then analytically studies it or them in detail. He or she considers the specific context of the case and examines how its parts are configured. This contrasts with longitudinal studies in which the researcher collects data on many units or cases, then looks for patterns in the mass of numbers. In this approach the researcher looks more for averages or patterns across many units or cases.

Case studies are multi-perspectival analyses. This means that the researcher considers not just the ideas and behaviours of the actors in the case, but also of the relevant groups of actors and the interaction between them. Although most methods of collecting data could be used, interviews are one of the most important sources of case study information. The interviews could be conducted as formal interviews or casual activities as the researcher could ask for the informant's opinion on events or facts (Tellis 1997b).

5.2.4   Using a Case Study as Data Collection Method for this Study

De Vos et al (2003:278-279) state that it is generally assumed that the real world of the participants of a research project can only be understood if the words and expressions they use in specific situations are revealed. People's conception of reality is not directly accessible to outsiders and, therefore, methods are required to unravel and capture these viewpoints as accurately as possible. In order to gain the real meaning of people's behaviour in particular situations, it is therefore of the utmost importance that the researcher should study and know the customs, lifestyle and cultural contexts of the respondents in a culture-sensitive manner.

As a former military instructor and training commander and currently a Military University Educator staffed at the institution selected as case study, the researcher could utilise participant observation to observe both human activities and the physical settings in which such activities took place. He was actively involved in the daily situation of participants while observing their behaviour. It could be argued that the mere presence of the researcher could have altered the situation, meaning that the situation was no longer the original and natural set-up under observation as the researcher was engaged in the very activities he set out to observe. The researcher was, however, part of the lives and

daily routine of the participants and his presence and participation were naturally accepted. As a participant observer, the researcher became part of the situation being observed and even contributed to it (De Vos et al. 2003:281).

The case study is a typical qualitative approach to data gathering, which implies that data cannot really be reduced to figures. The aim of studying this particular case was to go beyond the quantitative statistical results and attempt to explain conditions, activities and attitudes of participants qualitatively as they embarked on a journey of organisational self-assessment and the implementation of a continuous performance improvement project. During some phases, however, the research was made conducive to statistical analyses to supplement the data with quantitative elements.

5.2.5   A Programme Implementation Case Study

For this study the type of case study that was selected was a programme implementation case study that assisted in establishing the role and functions of organisational self-assessment as part of the implementation of a continuous performance improvement strategy. The case study was aimed at an extensive, narrative report of what had happened over time and provided a context for interpreting findings of interventions and implementation variability.

The case study project describes a series of diverse continuous events, set in an organisational framework and in a well-defined environment. The researcher was appointed by organisational authorities to assume the role of a participant within the case. His appointment as official researcher in the unit assisted the researcher in being a participant observer of behaviour as workshop facilitator and member of the unit's project implementation committee. From this viewpoint, analyses, views, arguments and recommendations were made while actively encouraging the other members of the unit whom the research was intended to benefit.

5.2.6. The Selection of the SANDF College of Educational Technology (COLET) as a Case Study

The selection of COLET for the purpose of the case study presented a method of learning about the complex issues of self-assessment and the implementation of a continuous performance improvement programme, through an extensive description and a contextual analysis. This case could provide findings that would articulate why the instances occurred as they did, and what one might usefully explore in similar situations in other training units in the SANDF or even private ETD providers.

The selection of the COLET as the particular case study was based on the following factors:

5.2.6.1 <u>The Researcher's Need for Access to and the Confidence of Participants</u>.

The researcher was staffed as a member of this particular unit and appointed to facilitate a Continuous Performance Improvement Programme (CPIP) in the unit. He was therefore able to place the case within its larger context and entered the research project with both knowledge of the relevant literature as well as the culture and daily activities of the unit. He was also able to observe all processes, activities, events and actions of individual members within a specific time and setting.

5.2.6.2 <u>An In-depth Examination of a Single Case</u>

The selected case provided a systematic way of looking at events, collecting data, analysing information and reporting the results. As a result the researcher could gain an improved understanding of why certain occurrences happened as they did, and what might become important to investigate more extensively in future research.

5.2.6.3 <u>Placing the Case within its Larger Context</u>

As an experienced member of the unit the researcher could place the case within its larger context of a training unit of the SANDF within the DOD. Examining this

case study presented the researcher with the opportunity to become a participant observer who could focus on explaining the natural occurrences during the preparation and conducting of an organisational self-assessment and the implementation of a performance improvement initiative, within the context of everyday and natural experiences of the participants. The researcher knew and understood the customs, lifestyle and military traditions of the participants in this case study.

5.2.6.4 The Case as Representative of the Research Population

COLET is one of only four training units in the Joint Training Formation of the SANDF. This implies that members of all the services (SA Army, SA Air Force. SA Navy and SA Military Health Service) are staffed in the unit. The mandate of the unit is that of providing ETD Quality Enablement which includes the dual functions of training the trainers of other training units and providing an ETD quality enablement consultation service to other units in the SANDF. COLET was the first training unit of the SANDF that was accredited by SAQA and is currently in the process of assisting other providers who are pursuing accreditation.

5.3 RESEARCH DESIGN

In addressing the research problem the researcher selected a research design that was pre-experimental in nature and was based upon observing a training unit in the SANDF (COLET) as a case study. An emergent research design that included elements of both participatory research and action research was selected to investigate the sub-problems identified. This research design included the observation of activities within the case study and also created opportunities for action research by means of an intervention in the activities of the unit (see section 5.5).

The participatory research component included the relationship between the people involved in the research and the use of research as a tool for social change and for increasing human knowledge (Bless & Higson-Smith 2000:56). In addition to getting people in the unit involved as participants in the research project, the action research approach created the opportunity for researchers to learn and create knowledge on the basis of their concrete experience through observing and reflecting on their experience

and forming abstract concepts and generalisations. Testing the implications of these concepts in new situations, led to new concrete experience and, hence, the beginning of a new cycle of action research (Zuber-Skerritt 1993: 46).

Examining a case study presented the researcher with the opportunity to become a participant observer who could focus on explaining organisational self-assessment as a phenomenon within the everyday and natural experiences of the respondents. As participant observer the researcher actually participated in the events being studied.

The aim of the case study was to go beyond the quantitative statistical results and it attempted to explain conditions through the perspectives of the members in the unit. The case study evaluations therefore could address both processes and outcomes, as the researcher explored both qualitative and quantitative data. The study focussed more on the logic of analytic instead of enumerative induction as the researcher carefully selected the case and analytically studied it in detail. He considered the specific context of the case and examined how its parts were configured.

The case study called for multi-perspectival analyses as the researcher had to consider not just the ideas and behaviours of the actors in the case, but also of the relevant other groups of actors and the interaction between them.

In order to analyse self-assessment methods as part of a CPIP within an Education Training and Development Unit of the SANDF, the research design consisted of four stages within the case itself as well as an action research activity that was described not as part of the case study but which was aimed at an intervention within the case (see section 5.5). The action research activity created the opportunity to observe and reflect on concrete experiences within the case, and design and test new concepts by means of interventions in the case itself.

The research design that is depicted in diagram 5.1, was used to structure this chapter. In order to determine how one could optimally assure the reliability of results of an organisational self-assessment by ETD providers in a Continuous Performance Improvement Strategy of the South African Department of Defence, the SANDF College of Educational Technology (COLET) was studied as a case over the period February

2004 to November 2005. As part of this unit's preparation and implementation of a CPIP four different stages were identified and studied.

- During Stage One the reliability of the South African Excellence Foundation Self-assessment Questionnaire for Public Service Performance Excellence was investigated. Due to qualitative data received the researcher anticipated that the quality of responses could be enhanced if this questionnaire was customised to address the needs and culture of ETD providers in the SANDF.

- After using a scientific approach to develop a customised self-assessment questionnaire, the usefulness of such a questionnaire was tested as Stage Two of the case study, by determining whether improved quality and reliability of the responses could be confirmed.

- Deductions made when analysing the quantitative and qualitative data gathered during Stage Two prompted the researcher to investigate the value of conducting an organisational self-assessment workshop based on the questions in the customised questionnaire as Stage Three of the case study.

- The more reliable data received during Stage Three of the case study was utilised for planning, implementing and managing a CPIP during Stage Four of the case study. The utilisation of a Quality Review Package to assist in assuring the quality and reliability of organisational self-assessment in training units of the SANDF was then suggested.

Diagram 5.1 Research design

CASE STUDY

THE SANDF COLET

January 2004

STAGE ONE

Section 5.4
Utilising the SAEF Self-assessment Questionnaire as method of Self-assessment for a training unit in the SANDF.

Assumption

INTERVENTION

Section 5.5

Customising the SAEF Self-assessment Questionnaire for use in training units in the SANDF.

Intervention

STAGE TWO

Section 5.6
Testing a customised Self-assessment Questionnaire for use in the unit.

STAGE THREE

Section 5.7
Conducting a Self-assessment Workshop in the unit.

STAGE FOUR

Section 5.8

Implementing a Continuous Performance Improvement Programme.

November 2005

Section 5.9

Managing Improvement

Developing an ETD Quality Review Package for use in training units in the SANDF.

Continuous observation

5.4 STAGE ONE: THE SOUTH AFRICAN EXCELLENCE FOUNDATION'S SELF-ASSESSMENT QUESTIONNAIRE AS METHOD OF SELF-ASSESSMENT FOR A TRAINING UNIT IN THE SANDF

5.4.1 Introduction

When an organisation first undertakes self-assessment of its levels of performance, it is usually performed at an independent unit level, often starting with a pilot exercise before being implemented across all units or at corporate level (SAEF 2001a:9).

As was mentioned in section 2.3.1.6, different self-assessment approaches could be used that could include an award simulation approach, a pro forma approach, a workshop approach, a questionnaire approach, a matrix chart approach or even a software approach. Organisations could select and adjust from these approaches to suit their particular cultures and meet their own needs.

Using a questionnaire as self-assessment instrument is a method for gathering information on the perceptions of people within an organisation. Questionnaires are popular because they can involve a large population within an organisation and their use usually does not require special training

The SAEF has developed a comprehensive multiple choice questionnaire (see Appendix A), "*Self-assessment Questionnaire for Public Service Performance Excellence*", which covers all aspects of the SAEF Model for Performance Excellence (2001a:24). There are however many questionnaires on the market, all following the same basic process but with different features (SAEF 2001b:9-2).

If the SAEF Excellence Model is to be adopted as a frame-work for managing, analysing and improving organisation performance, it must, in the long term, be communicated to and adopted by all levels in the organisation (SAEF 2001a:9).

5.4.2 Aim and Objectives

When performing self-assessment of performance excellence, as part of the Department of Defence's performance Improvement strategy, ETD units in the SANDF are required to

utilise the concepts, framework and assessment criteria of the South African Excellence Model (DOD 2000a: xi). The Self-assessment Questionnaire that was developed by the SAEF for assessing organisations in the Public Service on Level 3 (possible application for the Excellence Certificate) of the SAEF is a generic questionnaire for applications by a wide range of organisations within the public service. When discussing their experiences during organisational self-assessment with members of units that have conducted these assessments by means of the SAEF Self-assessment Questionnaire only, the researcher observed some reservations about the reliability and validity of the outcomes of these assessments. It was mentioned that although focussing on the public service, the questionnaire still used terminology and addressed concepts that are more commonly used in organisations that concentrate on matters of production and profit. Members had to interpret some questions (especially those of the criterion *Organisational Results*), within a strategy of service delivery. One of the advantages of using a questionnaire is, however, that this questionnaire could be adapted or customised to suit the organisation (SAEF 2001a:29-30).

The aim of Stage One of this study was therefore to determine the reliability and validity of the performance assessment results obtained by means of the SAEF's Self-assessment Questionnaire for Public Performance Excellence (Level 3) when applied in a training unit of the SANDF. To reach this aim the researcher did make use of some statistical analyses but concentrated more on qualitative observations and discussions with members in the case study to determine their experiences and behaviour.

Most existing organisational self-assessment questionnaires constructed by quality organisations (e.g. SAEF Questionnaire), usually tell you *what* people think, not *why* they think it. If a questionnaire does not provide for reasons why certain responses were given, the accuracy, reliability and validity of the responses would strongly depend upon the clarity and quality of questions asked. In order to confirm the reliability and validity of the SAEF's Self-assessment Questionnaire for Public Service Performance Excellence the following objectives had to be reached:

- To link activities, results or achievements within the unit to levels of performance.
- Determine the unit's organisational strengths and also the areas that needed improvement.

- Compare the unit's performance with set objectives.
- Provide a baseline score that could be used as benchmark to measure future improvement actions.
- Suggest where to focus resources on improvement activities.
- Contribute to achieving a common sense of purpose and direction for everyone in the unit.
- Recommend plans for the future that would include responsibilities, control measures, processes and methods.

5.4.3 Research Design for Stage One

The design of this stage of the study followed an approach that was non-experimental and descriptive in nature and where data on the current status of performance and quality of service delivery of the SANDF COLET were collected by using the SAEF's Level 3 Self-assessment Questionnaire and analysing this data in order to investigate the reliability and validity of using this instrument in a training unit of the SANDF.

In February 2004 a formal self-assessment of the performance excellence of the SANDF COLET was conducted by making use of the original SAEF Level 3 Self-assessment Questionnaire.

This Stage One of the research project included the following phases:

- Phase 1. <u>Preparation of all unit members</u>. A presentation was conducted to inform the unit members of the need for Performance Improvement and the use of the South African Excellence Model. Members were motivated to be committed to this programme.

- Phase 2. <u>Plan and prepare for self-assessment</u>. After discussions with members of the South African Excellence Foundation about copyright issues for using the Level 3 Self-assessment Questionnaire of the SAEF, the questionnaires were prepared and distributed.

- Phase 3. <u>Conduct self-assessment</u>. A formal self-assessment of the unit's activities and achievements was completed by unit members by making use of the SAEF's Level 3 Self-assessment Questionnaire.

- Phase 4. <u>Analysis of the self-assessment data</u>. The data were analysed in order to determine the reliability and validity of the results of the SAEF Self-assessment Questionnaire for Public Service Performance Excellence in the context of an ETD provider in a military environment. An additional outcome of this phase was that not only preliminary performance strengths but also the areas within the unit that would need improvement, could be identified that could provide the management team of the unit with some guidelines on aspects that should be considered when implementing a CPIP.

- Phase 5. <u>Feedback to Respondents</u>. A final feedback discussion was conducted with all the respondents. The scores of each criterion formed the basis of the discussions.

5.4.4 Population, Sample and Sampling

Excluding the Commandant and the researcher, there were 60 members staffed at COLET during February 2004.   This number included members that were staffed at the lowest levels of employment (Levels 1 to 3), junior staff members (Levels 4 to 6), senior staff members (Levels 7 to 9) and members in managerial positions (Levels 10 to 12). Structured interviews with the four (4) members staffed on levels one (1) to three (3) (e.g. gardeners and cleaners), revealed that these members did not always understand the concepts that would be analysed. For this reason the researcher decided to focus purposively on data collected from the 56 members staffed on levels four (4) to twelve (12). This research population included the military or Defence Act Personnel (DAP) as well as civilian employees or Public Service Act Personnel (PSAP) staffed in the unit.

During the week of 9 February to 13 February 2004, forty-eight (48) members from this population were available in the unit. A presentation was conducted to inform the unit members of the need for Performance Improvement and the use of the South African Excellence Foundation Model. Members were motivated to be committed to this programme, and SAEF Self-assessment Questionnaires were distributed to all these

members. Forty-four (44) useable completed questionnaires were returned to the researcher and this number included:

- Seven (7) from levels 10 to 12.

- Thirty-five (31) from levels 7 to 9.

- Six (6) from levels 4 to 6.

No sampling method was used, as all available members of the research population were included in the research sample. The completed questionnaires represented 91.7% of the available sample, 78.6% of the total sample and 73.3% of the total population.

5.4.5   Capturing Quantitative Data

5.4.5.1.   Introduction

In sections 3.4.4 and 3.4.5 of this study the South African Excellence Foundation Model (SAEM), the model criteria and the methods of scoring these criteria were discussed. Conducting an organisational self-assessment at COLET by using the SAEF developed questionnaire (see Appendix A), provided the researcher with data that could be interpreted to achieve the following two outcomes:

- To determine the reliability and validity of using the SAEF developed Self-assessment Questionnaire for Public Service Performance Excellence (see Appendix A), within the context of a training unit in the SANDF.
- To provide the executive management of the unit with preliminary data on the organisational strengths and areas that needed improvement.

In order to provide the unit management with feedback on organisational strengths and areas for improvement, descriptive statistics were used. For the purpose of this study data were statistically analysed to determine the reliability and validity of the instrument of assessment. In interpreting the data for this purpose the researcher made use of inferential statistics to organise and summarise the quantitative data.

5.4.5.2 <u>Levels of Measurement for Organisational Self-assessment</u>.

The SAEF Self-assessment Questionnaire (see Appendix A) that was used to collect the data provided the variables that had to be measured, the method how they should be recorded as well as the formulas for the processing mechanism.

Interval measurements with equal measurement intervals and with an arbitrary zero point were part of the design of the Self-assessment Questionnaire of the SAEF. Data were ranked in terms of graded order, as "*Not Standard", "Some Progress", "Good Progress" and "Fully Achieved".* This implied that the lowest rating of zero (0) did not represent "Nothing at All" but rather only something less than "Some Progress". The higher the category that was chosen, the greater the status of performance.

The variables that were measured on these scales that were constructed by the SAEF were discrete variables that could only take whole number values, namely, 0 for "Not Standard", 1 for "Some Progress", 2 for "Good Progress" and 3 for "Fully Achieved". It should be noted that the design and formulas within the questionnaire include a possible zero value response as well as the presumption of equal differences between "Some Progress", "Good Progress" and even "Fully Achieved".

The final results or scores were determined for each criterion of each respondent by using the prescribed method of the SAEF developed Self-assessment Questionnaire for Public Service Performance Excellence (see Appendix A). This was done in the following manner:

- The ticks (√) were totalled for each column of measurement and multiplied by the "Factor" for this column of measurement. These factors were 0 for all responses of "Not Standard", 33 for responses of "Some Progress", 67 for responses of "Good Progress" and 100 for responses of "Fully Achieved". The results provided the Value score for each column.
- The Value scores were added to get a Total score for the given criterion.
- The Total scores were divided by a number representing the number of questions per criterion in order to provide a % Achieved.

- The results (% Achieved) were multiplied by the weights of each criterion within the Excellence model to provide the Total Points for each criterion. These Total Points represent the current status of performance or excellence for each criterion.

In order to present the data as descriptive statistics to the unit's management and other members of the unit, the final scores for each criterion, the percentages and the means were indicated as continuous variables with decimal fractions. As responses were measured on an interval scale, the frequency of each value was determined. These frequencies were converted to weighted totals, percentages and points to illustrate the levels of agreement as required for the South African Excellence Model. Data collected represented three categories (Staffing Levels 10 to 12, Staffing Levels 7 to 9 and Staffing Levels 4 to 6) before integrating all data. This was done to compare results from different rank levels present in the DOD. Tables of individual responses, tables of summaries of responses of each Level group as well as histograms representing these tables and the Current Status of Performance Excellence were designed in order to represent the data visually to the unit's management cadre for integration into unit plans.

5.4.5.3 <u>Averages or Measures of Tendency for Organisational Self-assessment</u>

For the purpose of the case study it was necessary when dealing with the large numbers of observations to proceed with a more precise analysis. In order to compare different respondents' answers to various questions and also determine other trends that could not be answered meaningfully by means of frequency distributions and graphs, the researcher used the mean scores as measures of central tendency as single numbers that best represented the whole distribution of the measures. Although the eleven criteria have different weightings within the South African Excellence Model (see section 3.4.4), no criteria weightings were used when comparing the mean scores and conducting other statistical computations. Results were calculated only within the four-point scale.

5.4.5.4 <u>Measures of Variability to Determine the Reliability and Validity of the</u>
<u>Assessment Instrument</u>

The measures of tendency, central values or even the simplest measure of
variability, the range, could not assist in determining the reliability and validity of
the assessment instrument. The researcher selected two basic statistical
analysis methods to evaluate the reliability and validity of the SAEF
Questionnaire as instrument to determine organisational performance excellence
in a training unit of the SANDF.

- Cronbach alpha scores were computed to quantify the internal
  consistency reliability or equivalence reliability and indicate the
  consistency of items within the constructs or criteria.
- The standard deviation as measure of the degree of dispersion of the
  data from the mean value for each criterion, were determined to provide
  data for comparison with data that were planned to be collected during
  future organisational self-assessment cycles.

5.4.6 Capturing Qualitative Data

In this case study a mostly qualitative approach to data was utilised, which implied that
the data were not reduced to only figures or numbers. Although this first stage of the
case study included the use of a questionnaire, and a statistical analysis provided some
baseline data that could be used for future planning, the aim was to go beyond the
quantitative statistical results and attempt to explain the conditions, activities and attitudes
of respondents qualitatively within the study as they embarked on a journey of
organisational self-assessment and the implementation of a performance improvement
project. Although considering the quantitative outcomes to determine the level of reliability
and validity of using a specific questionnaire for organisational self-assessment in a
training unit in the SANDF, the researcher also observed the members within the case
study in order to consider the qualitative ideas, suggestions, behaviours and relevant
interaction of the actors in the case.

When discussing the results of the findings of this first stage of the case study, one
therefore had to address three areas, namely, the value of this first organisational self-

assessment for the management of COLET, the reliability of the SAEF Self-assessment Questionnaire for self-assessment in training units of the SANDF and the additional qualitative outputs of observing members of the unit over this period of time.

5.4.7   Discussion of Findings

5.4.7.1. <u>The Value of this First Organisational Self-assessment for the Management of COLET</u>

In order to promote involvement and participation of all unit members, no sampling method was used but all available members staffed at the unit were involved in the first organisational self-assessment. A focus group discussion with the aid of a translator indicated that although the four members at the lowest level of employment (e.g. the levels 1 to 3 gardeners and cleaners) were enthusiastic about their involvement, they could not always understand the concepts that were assessed and unrealistically believed that most of the criteria were "Fully Achieved" in the unit. As was mentioned in section 5.4.4, of the 48 questionnaires that were distributed to the rest of the unit members, respondents returned 47. Although only 44 were useable for calculating statistics, the remaining three questionnaires were, nevertheless, very useful for determining some qualitative aspects.

As this self-assessment was formally conducted by all available members within the unit, and the process simulated one of the SAEF's suggested self-assessment methods, the scores obtained provided the top management of COLET with data that could assist them in planning for and implementing a continuous performance programme. The members' perceptions of the unit's strong points as well as areas that needed improvement were identified according to the SAEF questionnaire. The highest scores obtained for the criteria *Policy and Strategy* as well as *People Management*, would represent the unit's strong points while the lowest scores (*People Satisfaction and Organisational Results*) were the priorities for improvement (see table 5.8).

A feedback session to all the members of the unit provided them with a basis of knowledge of their analysed perceptions of the unit's levels of performance in

relation to the criteria of the South African Excellence Model. For unit planning and the implementation of a continuous performance improvement project in the unit, management were additionally provided with visual aids in terms of bar-charts, diagrams and a completed self-assessment report to assist them in their decision making. The measures of central tendency, measures of dispersion, frequency distributions and other descriptive statistics were also made available to aid unit planning.

These scores represented the perceptions of the respondents of the levels of performance within the unit and cannot be compared with scores of other units or organisations. The main purpose of this Self-assessment Questionnaire was, therefore, to determine the criteria that were the priorities (ordinal) for improvement. The responses would, therefore, not represent absolute scores but rather relative scores of the criteria that the command cadre of the unit could use for managing performance excellence improvement within the unit.

5.4.7.2. <u>Statistical Testing of the Reliability and Validity of the SAEF's Self-assessment Questionnaire</u>

The aim of this stage of the case study was not to examine the general reliability or consistency of the SAEF's Self-assessment Questionnaire, as one could expect that this was done by the SAEF during the development of this questionnaire as a self-assessment instrument. The purpose was to investigate the context specific reliability of the instrument used for self-assessment but especially study the level of validity of the instrument when utilised within the context of an ETD provider in the military environment.

For a statistical analysis to test of the reliability of the SAEF Self-assessment Questionnaire as organisational self-assessment instrument, the following more sophisticated statistical analyses were conducted.

- <u>Cronbach alpha scores</u>

    Cronbach alpha scores indicate the internal consistency of items within themes, factors or constructs. In relation to this study the consistency

reliability of all the items or questions per criterion was calculated. For validity the alpha coefficient could indicate that the items describe the construct in totality. A total of 1 would indicate total consistency and scores better than 0.7 for preliminary research and 0.8 for basic research are recommended for a minimum acceptable reliability (Nunnally 1978:245-246). A Cronbach alpha score is therefore an overall measure of agreement and was used as an index of consistency of the responses of the members that completed the questionnaire.

The results of the calculations of the alpha coefficient of the responses to the questions posed in the SAEF Self-assessment Questionnaire are indicated in table 5.1 The table clearly indicates a high or good internal consistency reliability for the items or questions within all the eleven criteria. The Cronbach alpha coefficients ranged between 0.8023, which still demonstrates a very good internal consistency, and 0.9479. The table also demonstrates that the criteria with larger numbers of questions obtained better alpha scores than those with only a few questions.

Table 5.1   The Cronbach Alpha scores for Responses to the SAEF Self-assessment Questionnaire

CRITERIA	N	N of items	Chronbach alpha
Leadership	44	11	.9133
Policy and Strategy	44	4	.8023
Customer and Stakeholder Focus	44	5	.8774
People Management	44	9	.8799
Resources and Information Management	44	11	.9004
Processes	44	8	.9314
Social Responsibility	44	4	.8665
Customer and Stakeholder Satisfaction	44	2	.8429
People Satisfaction	44	3	.8709
Supplier and Partnership Performance	44	10	.9479
Organisational Results	44	10	.9092

The overall results therefore confirmed an acceptable internal consistency reliability of the SAEF Self-assessment Questionnaire as instrument for conducting organisational self-assessment in the selected unit.

- Standard Deviation

The standard deviation is the most frequently calculated measure of variability and a measure of the degree of dispersion of the data from the mean value. A smaller standard deviation represents a data set where scores are very close in value to the mean while a data set with a larger standard deviation has scores with more variance or a larger range. Knowing the standard deviation helps create a more accurate picture of the distribution along the normal curve.

As was mentioned in section 5.4.5.2, respondents were required to respond to questions on the eleven criteria of the South African Excellence Model by rating each question on a graded order of 0 for "*Not Standard*", 1 for "*Some Progress*", 2 for "*Good Progress*" and 3 for "*Fully Achieved*". The mean and standard deviation were calculated for responses to each criterion. The results of these calculations are indicated in Table 5.2.

Although the alpha coefficients confirmed an acceptable internal consistency reliability of the SAEF Self-assessment Questionnaire as instrument for conducting organisational self-assessment in the selected unit (see previous section), the researcher was concerned about the relative wide standard deviations of between 0.7608 to 0.5816 on only a four-point scale. The wide standard deviations was one of the reasons that prompted the researcher to investigate the effects of adapting or customising the SAEF's Self-assessment Questionnaire for use in the ETD environment of the DOD.

Table 5.2   The Standard Deviation from the Mean of Each Criterion when using the SAEF Self-assessment Questionnaire

CRITERIA	N	Mean	Std. Deviation
Leadership	44	1.5847	.6025
Policy and Strategy	44	1.5682	.5816
Customer and Stakeholder Focus	44	1.4909	.6562
People Management	44	1.6313	.6061
Resources and Information Management	44	1.4463	.5845
Processes	44	1.4659	.6500
Social Responsibility	44	1.3807	.7577
Customer and Stakeholder Satisfaction	44	1.3409	.7608
People Satisfaction	44	1.2045	.7816
Supplier and Partnership Performance	44	1.3318	.7149
Organisational Results	44	1.1636	.6172

Although the standard deviation is the most comprehensive and widely used measure of dispersion it is of limited usefulness by itself and should be used for comparison purposes. The aim of these calculations was therefore to attain data that could be compared with responses obtained during future stages of the study.

5.4.7.3 Qualitative Data

As was mentioned in section 5.4.6.1, a qualitative approach was utilised for this case study. Although the study did include questionnaires and some statistical analyses that provided baseline data that could assist during future planning cycles, the main aim was to attempt to explain the conditions, activities, attitudes, beliefs and relationships of respondents qualitatively within the study as they embarked on a journey of organisational self-assessment and the implementation of a performance improvement project. The researcher therefore also captured the qualitative ideas, suggestions, behaviours and relevant interaction of the actors in the case.

The formal feedback session, informal discussions with members, formal discussions during meetings and written responses on the questionnaires provided the basis of capturing and analysing the qualitative data. The following is a summary of the main issues that were observed:

- The three unusable questionnaires that were received demonstrated a lack of understanding or ability to interpret the questions as they did not grade most of the questions. Written comments when questions were not answered included statements like; "Don't know", "Not relevant" etc.
- Comments on the usable questionnaires also prompted the researcher to question the trustworthiness of the scores. These comments included reasons why the respondent gave a particular grading that demonstrated to the researcher that the respondent had the wrong perception of what was actually required or assessed. Some respondents added the words "Think so", that also demonstrated their uncertainty of what was expected.
- Respondents admitted in discussions during the formal feedback session that they did not understand all the questions. The language as well as the business-like concepts confused many of the members.
- Respondents that were not confident to voice their opinions during the feedback session admitted to the researcher that they did not always understand the questions.
- Some respondents said that they were uncomfortable with the grading system, as "*Some Progress*" and even "*Good Progress*" would mean that the issue is still "*Not Standard*".
- It was also expressed that the Results criteria were difficult to answer, as the assessment of these criteria must be based on the provision of evidence that would substantiate the response. Respondents indicated that they did not always know what was happening in the other departments (Centres) and based their answers on the fact that they supposed that the evidence does exist. This problem was experienced particularly by respondents at the lower level of employment.
- It became evident that some inter-departmental competition did exist. A number of responses demonstrated clearly the centre in which a respondent

was employed as the functions of this centre were constantly graded much higher than those of their colleagues in other centres.

· Discussions also indicated that respondents in the unit found it difficult to integrate or identify the interrelationships between criteria and in fact used the questionnaire as a checklist to assess issues independently and in isolation.

• A lack of understanding the interrelationship between the areas that have to be addressed as part of each criterion was also demonstrated when marking criteria that included examples of what could be classified as elements of the areas that are assessed. The majority of the respondents were under the impression that they should grade each of these examples. Sometimes these responses included a wide range of scores for elements of the same issue that was assessed.

• Finally, informal discussions with members of the unit and formal decisions taken by management demonstrated the different levels of understanding and/or interpretation by the respondents within the case study. The respondents at lower levels of employment were less enthusiastic that they could make a difference and contribute to the organisational performance improvement while respondents at higher and managerial levels were more enthusiastic and even motivated to apply for an SAEF Award.

5.4.8 Deductions

When investigating the possible use of the SAEF's Self-assessment Questionnaire as an instrument for conducting organisational self-assessment within training units of the SANDF, the researcher concentrated on two important aspects that could have a significant influence on the credibility and acceptability of the final results or outcomes on the self-assessment activities. These concepts were the reliability and validity of this data-collection method.

5.4.8.1 <u>Reliability of the SAEF Self-assessment Questionnaire when Used in a Training Unit of the SANDF</u>

A reliable method of data-collection suggests that the equivalent data will have been collected each time in repeated observations of the same phenomenon and

that the method used could therefore be trusted to provide the data needed to analyse the research problem. This first stage of the case study demonstrated the following matters that could be mentioned in support of but also to challenge the reliability of the SAEF's Level 3 Self-assessment Questionnaire as data-collection method in a training unit in the SANDF:

- Support. The official SAEF Self-assessment questionnaire was used. This method has been tested and used by many organisations in South Africa and is currently the official instrument for self-assessment by means of a questionnaire. This questionnaire is widely used by South African organisations to determine their own performance excellence. The results obtained when calculating the Cronbach alpha scores also demonstrated a high level of internal consistency reliability when the SAEF Questionnaire was used within the context of an ETD provider in the DOD. This high level of internal consistency proved the extent to which the instrument assessed the same characteristic, skill or quality of the items within each criterion.

- Challenge. The South African Excellence model as well as the Self-assessment questionnaire is generic in nature and initially developed to address needs and principles in the production or marketing industry. All the questions on profits, production figures, supplier performance and other concepts more relevant to the production industries, had to be re-interpreted by the respondents into ETD related substitutes. The wide ranges of responses from *"Not Standard"* to *"Fully Implemented"* when rating the same activities demonstrated a lack of interrated reliability of the questionnaire used for this self-assessment. Individual respondents thus demonstrated different views when interpreting questions and rating activities. Although the members of the unit represented different services and divisions as well as civilians, all with their different traditions and views, they are all involved in achieving the common objective of providing quality ETD to members of the DOD and should be able to rate performance within this context.

5.4.8.2. <u>Validity or Trustworthiness of the SAEF Self-assessment Questionnaire when Used in a Training Unit of the SANDF</u>

The term validity refers to the extent to which an empirical study measures and adequately reflects the real meaning of the concept that is being investigated. Factors or variables that could influence the results of the investigation must be controlled and should also be indicated. Internal validity therefore examines the extent to which a particular research design has included or addressed all possible variables that could have explained the variations in recorded data. When designing Stage One of this research project the researcher intended to investigate his initial perception that by using the SAEF's Self-assessment questionnaire, he would be able to measure what he had set out to measure, namely, the status of performance excellence within a training unit of the SANDF. The internal validity of the research design was based on the following:

- For Face Validity it seemed a reasonable method of gaining the information the researcher was attempting to obtain. The questionnaire was assumed to be well designed and used by many organisations that believed it to be reliable.
- Criterion Related Validity was based on the assumption that the design of the South African Excellence Model and related questionnaire was influenced by generally accepted international designs such as the Baldrige and the European Excellence Model and questionnaires (see section 3.4.4).
- Construct Validity was assumed on the basis that the questionnaire addressed the eleven criteria designed as part of the South African Excellence Model for improving performance excellence and that all these concepts of the criteria were well defined within the model.
- Content Validity was believed to be obtained because the eleven criteria as well as all the areas that were to be addressed as part of each criterion, were included in different questions.

The qualitative data that were captured, however, indicated that the validity or trustworthiness of the data received could not be accepted without reservation

and that aspects like use of language, use of business concepts, relevance of questions, interrelatedness of criteria and the access to evidence to confirm or verify answers, provided the respondents with difficulties to assess the unit accurately.

External validity examines the extent to which the results of the research project could be applied or transferred to additional external situations other than the one for which the original study generated the findings. This research design was based on a questionnaire that required members to assess criteria based on quantitative evidence collected in a particular unit within the SANDF. Although the specific scores per criterion will be unique to each training unit, a proven trustworthiness of responses when using the relevant self-assessment instrument in a particular training unit of the SANDF would indicate the possible transferability of the use of this instrument when assessing other training units in a military environment.

5.4.8.3.   <u>Additional Deductions Made from the Data Gathered</u>

Conducting an organisational self-assessment in the SANDF COLET contributed to reaching some of the aims of organisational self-assessment. It served as a starting point for a structured approach to continuous performance improvement and assisted in identifying specific strengths and areas for improvement within the unit. This information not only provided management with information that would assist in developing plans that would direct a performance improvement process but also supplied a baseline of data that could be used for purposes of comparison during following improvement cycles (see figure 2.6). This assessment also increased quality awareness in all aspects of the unit and encouraged and motivated some employees to become personally involved in improvement activities.

Although a statistical analysis demonstrated a high level of consistency reliability of the SAEF's Level 3 Self-assessment Questionnaire, additional qualitative data indicated that the outcomes of this perception-based self-assessment could not be accepted without reservation, as reflecting the true status of performance excellence within the unit. The researcher deducted

from his observations that many respondents had experienced difficulty in understanding or interpreting the questions on the SAEF Self-assessment Questionnaire. This could have resulted due to the following:

- The academic or business-like language used in the questionnaire could have provided members with problems in understanding the questions as only a small number of respondents indicated that English was their home language.
- Members could have given different interpretations to concepts that are more commonly used in the production or marketing industries.

5.4.9   Conclusion

Stage One of this case study investigated the use of a generic questionnaire for organisational self-assessment in a training unit within the SANDF. Although the consistency reliability of the SAEF Level 3 Self-assessment Questionnaire was determined, additional data prompted the researcher to investigate the feasibility and effects of customising the Self-assessment Questionnaire for use in training units of the DOD.

A customised self-assessment questionnaire could address the following:

- Simplifying the language used in the questionnaire. By describing what is actually assessed will eliminate the fact that respondents must rely on their own interpretations of what is required.
- Phrase the questions in order to address the language, customs and culture more familiar to members within a military environment.
- Provide the respondents with a grading system that would be less confusing.

If the effects of utilising a customised self-assessment questionnaire were to be tested later within the case itself, the customisation of the questionnaire would have to be a research activity external to the case itself (see diagram 5.1). The research design and process of customising the self-assessment questionnaire is discussed in the following section.

5.5   INTERVENTION: CUSTOMISING THE SAEF SELF-ASSESSMENT QUESTIONNAIRE FOR USE IN TRAINING UNITS WITHIN THE SANDF.

5.5.1   Introduction

Involvement and participation by all members of an organisation were recommended for effective organisational self-assessment in section 2.3.1.7 of this study. Responses by members of COLET during Stage One of this study clearly indicated that some members in a training unit in the SANDF experienced difficulties when interpreting the Self-assessment Questionnaire that was constructed by the South African Excellence Foundation. This self-assessment questionnaire is generic and was originally developed and based on principles suited to organisations that focus on production and profits. A customised self-assessment questionnaire that uses the terminology and addresses the culture, approach and needs of the SANDF training community could therefore enhance the quality of the results required.

5.5.2   Aim and Objectives

The aim of this research activity was to adapt the Level 3 Self-assessment Questionnaire of the SAEF and customise it for use within training units of the SANDF in order to possibly enhance the reliability and validity of the instrument that could be used when conducting future self-assessments in the unit.

The following objectives were identified for this research activity:

- Determine from a training perspective within the SANDF, the relevance of the performances assessed by the Level 3 Self-assessment Questionnaire of the SAEF.
- Establish which questions within the SAEF's Self-assessment Questionnaire could be misunderstood or possibly confuse respondents.
- Rephrase questions by utilising words or expressions that are familiar in a military or ETD environment.
- Construct a customised performance excellence self-assessment questionnaire for use in training units within the SANDF.

5.5.3   Research Design

The research design of this research activity included the following phases:

- Phase 1. <u>Analyse the Results of Stage One</u>. The results of specific questions within the SAEF's Self-assessment Questionnaire were analysed in order to determine the problems that respondents encountered.

- Phase 2. <u>Conduct Interviews with Senior ETD Practitioners</u>. Interviews were conducted with senior ETD Practitioners and Officers Commanding of training units to investigate possible adaptations to the SAEF Questionnaire for use in the SANDF training environment.

- Phase 3. <u>Compile a Draft Customised Self-assessment Questionnaire</u>. A draft customised Self-assessment Questionnaire was compiled that addressed the terminology, approaches, customs and needs of ETD practitioners in training units in the SANDF.

- Phase 4. <u>Select a Representative Research Sample</u>. A sample that represented the total ETD community in the SANDF was selected in order to acquire inputs that would enhance the quality of the customised self-assessment questionnaire not only for use in the case study but also for future utilisation by ETD providers in the wider SANDF.

- Phase 5. <u>Conduct an Assessment of the Customised Self-assessment Questionnaire</u>. Sample members assessed the draft-customised questionnaire and returned their responses.

- Phase 6. <u>Analyse Feedback from Respondents</u>. All the responses were analysed and critically evaluated to establish the need for further refinement of the questionnaire.

- Phase 7. <u>Finalise a Customised Performance Assessment Questionnaire</u>. The final adaptations were made to the customised questionnaire.

5.5.4 Research Activities

5.5.4.1 Introduction

After analysing the questions used in the SAEF's Level 3 Self-assessment Questionnaire and the results obtained during Stage One of this research project, interviews were conducted with ten senior members within the SANDF who were involved in using the SAEF Model for continuous performance improvement programmes within the SANDF. A draft customised self-assessment questionnaire that addressed the terminology, culture, approach and needs of the SANDF training community was thereafter constructed (see Appendix B). The purpose of field-testing this questionnaire was not to examine, determine or expose any trends or levels of excellence within participating units or the SANDF as only the functionality or user-friendliness of the draft customised questionnaire itself was investigated.

5.5.4.2 Population and Sample

The research population for this component of the study included all training units within the SANDF. A representative research sample was determined by using a purposive or judgemental sampling method. The criterion for selection was units within the SANDF which conduct training as core function and that would include and represent all the Services, Joint Training Formation and the Intelligence Division. Sixteen (16) questionnaires were therefore distributed to the following units:

- **Joint Training Formation**:
    - o Joint Training Formation Headquarters.
    - o SANDF National War College.
    - o SANDF College of Educational Technology.
- **SA Army**:
    - o SA Army College.

- o School of Armour.
- o Air Defence Artillery Formation.
- **SA Air Force**:
  - o SAAF College.
  - o SAAF Gymnasium.
  - o SAAF Central Flying School.
- **SA Navy**:
  - o Naval College.
  - o Naval Staff College
  - o SAS Wingfield.
- **South African Military Health Service**:
  - o School of Military Training.
  - o School of Military Health Training.
  - o SAMHS Nursing College.
- **Defence Intelligence Division**:
  - o South African Defence Intelligence College.

5.5.4.3 Request to Respondents

One member responsible for Quality Management within each unit was requested to complete this draft customised questionnaire. Respondents were requested to read the questions critically and respond to the following:

- **Formulation of the question**. Members had to indicate whether they were of the opinion that:
  - o The formulation of the question is bad and/or confusing.
  - o The formulation of the question is acceptable but needs minor improvements.
  - o The formulation of the question is good and gives a clear description of what is required from a respondent.
- **Relevance to training units**. Members had to indicate whether they were of the opinion that:

- o the question addresses an issue that **is not relevant to training units** and should not be addressed when assessing the level of performance excellence in the unit.
  - o the question addresses an issue that **has some relevance to training units** and could possibly enhance performance if assessed.
  - o the question addresses an issue that **is relevant to training units** and is essential for improving performance levels in the unit.
- **Additional feedback.** Respondents were also requested to be critical and to provide the following additional information:
  - o Any relevant additional guidelines that could be provided in the questionnaire that would assist members when completing a similar questionnaire in the future.
  - o Suggestions on how to improve the formulation of the questions.
  - o Suggestions on additional questions that should be added to the questionnaire.

5.5.5 Data Analysis

5.5.5.1 <u>Introduction</u>

Questionnaires were distributed to sixteen (16) training units that represented the four Services, Joint Training Formation and Defence Intelligence Division in the SANDF. Nine (9) of these Officers Commanding delegated the completion of the questionnaire to the person in their units that was responsible for performance improvement while five (5) Officers Commanding made copies of the questionnaire and requested more than one person in their units to complete a questionnaire. Two (2) of the units did not respond. Ultimately twenty-two (22) completed questionnaires were returned and analysed.

The main reason for the distribution of these draft questionnaires was to gain feedback from members involved in performance improvement programmes in order to improve the customised questionnaire. For this reason the data were

not analysed as statistics but general trends as well as all the individual suggestions from respondents were qualitatively evaluated.

5.5.5.2   Biographical Data of the Respondents

Of the twenty-two (22) members that responded, three (3) were from a unit of Joint Training, three (3) from the SA Army, three (3) from the SA Air Force, six (6) from the SA Navy, six (6) from the South African Military Health Service and one (1) from Defence Intelligence. Most of the respondents were senior members of the SANDF. Sixteen (16) were Senior officers, four (4) were Warrant Officers, while only one (1) was a Junior officer and one (1) a Non-Commissioned Officer. Eighteen (18) males and four (4) females completed the questionnaire.

The respondents were experienced ETD practitioners and fifteen (15) had more than six years experience within the training environment. Eighteen (18) had completed tertiary qualifications and seventeen (17) of the respondents had completed ETD qualifications. Twelve (12) members had completed South African Excellence Foundation courses while six (6) had completed other quality management courses.

Thirteen (13) of these respondents had been in units that had done an SAEF or any other performance improvement self-assessment before while nine (9) were personally involved in an SAEF or any other performance improvement self-assessment before. Three (3) members were from a unit that had applied for an SAEF Performance Improvement Award in the past.

The biographical data of the respondents indicated that in addition to representing the wider spectrum of ETD providers in the SANDF, properly qualified and experienced members participated in this study and therefore the sample could be judged as being suitable for its purpose.

5.5.5.3 Feedback by Respondents

In general the feedback received from the respondents demonstrated a positive attitude and support for the idea and efforts to customise the SAEF Self-assessment Questionnaire for use by training providers in the SANDF.

In addition to providing the researcher with valuable information on both how they perceived the formulation of each question as well as the relevance of the issue addressed by each question, the respondents also generously provided additional suggestions for further improvement of the questionnaire. All these suggestions were analysed, evaluated and considered in further refinement of the questionnaire. The following is a summary of the major issues and most important remarks or suggestions that the respondents had to offer:

- The rephrasing of some questions to make the questions more understandable or clearer.
- The rephrasing of questions where two or even three issues were assessed. Example: Do the leaders in my unit make themselves accessible, listen and respond to needs and suggestions from unit members? (see Appendix B, Question 1a.4).
- The need for more guidelines to assist respondents. Example: Who are my clients and who are my stakeholders? (see Appendix B page B-7).
- The uncertainty of how to measure certain aspects and thereby requesting examples of aspects that should be considered for each question (see examples in Appendix B, Question 7a.1).
- The fact that respondents still felt intimidated by some questions as decisions by higher authority may influence actions or the lack of actions taken in the unit.
- The fact that each unit will always have its unique challenges.
- The fact that the questions for the *Results* criteria could confuse respondents as they are all double-barrelled questions. Example: Question 7a.3 Does my unit have results that show trends in relation to conservation of resources and the environment? Some respondents believed that one could answer both *No* and *Yes*. *No* I am not sure

whether management is in possession of acceptable results or evidence but *Yes* I know that we spend a lot of effort in addressing this issue.

- The fact that completing the questionnaire is time consuming and that a smaller number of questions should be considered.

- The fact that members who are not involved at command or supervisor level will not be able to provide a true reflection of what is happening in the whole unit and that their perceptions could possibly distort the scores.

- The fact that the number of questions within each criterion does not always compare with the weighting of that specific criterion.

- The fact that a respondent's maturity level or experience in self-assessment projects could determine the suggested number and range of questions that would provide responses that are needed to achieve the goals of the self-assessment in the unit.

5.5.6 Deductions

Although the respondents were pleased with this first draft and supported the idea of a customised self-assessment instrument, the feedback provided clearly indicated that further refinement was needed. A number of questions required to be rephrased as many respondents recommended some improvements. Some questions were still perceived as double-barreled and the final questionnaire needed to address only the single most essential aspect within these questions. The respondents also suggested that the questionnaire was too time consuming and that the number of questions, especially those of criteria with smaller weightings, should be reduced.

5.5.7 Constructing a Customised Self-assessment Questionnaire

In order to address these issues that were raised by the respondents, the self-assessment questionnaire was further refined and adapted to suit the needs of the training units of the SANDF. Although each unit may have its unique challenges, the mutual goal of providing an excellent ETD service within the military environment provided the researcher with a common context within which to formulate the questions that should be answered. Questions were rephrased where respondents recommended improved formulations. Where the original SAEF Questionnaire required responses to questions that may have been confusing by addressing more than one aspect, only the

most essential aspect was required in the customised questionnaire. More and clearer guidelines were also added to some criteria as suggested by some respondents.

In order to include all the areas that needed to be assessed, the draft of the customised questionnaire that was distributed to the selected training units comprised more questions than the original SAEF questionnaire. The respondents however suggested that the questionnaire was too time consuming and that the number of questions, especially those on criteria with lesser weightings, should be edited. The number of questions in the customised questionnaire was therefore again reduced to a number that included most of the areas that had to be addressed, but better distributed to match the weightings of each criterion (see Appendix C). Where the original SAEF questionnaire has a range of 0.05 to 1.4 for the ratio questions/weight per criterion, this range was reduced to 0.46 to 0.57 (mode = 47) as indicated in Table 5.3.

The *Results* criteria required respondents to assess the availability of evidence to prove the performance level of each area that was assessed. The scoring dimensions therefore included both the excellence of the results as well as the scope of its application (see section 3.4.5). The suggestion by some respondents that these questions should be simplified in order not to confuse respondents was addressed in the refined customised self-assessments questionnaire by including clearer guidelines in the questionnaire and providing respondents with an explanation of the nature of these questions before self-assessment commenced.

5.5.8 Conclusion

Taking into account the suggestions and data received from members involved in quality management within training units in the SANDF, a final refined and customised self-assessment questionnaire was constructed that addressed the terminology, culture and needs of training units in the SANDF (see Appendix C). Other issues like the relationship between criterion weightings and question ratios as well as the time needed to complete the questionnaire, were also taken into account.

The final product of this research and development activity to customise a self-assessment questionnaire for the particular use in training units in the SANDF was now ready to be tested in the case study.

Table 5.3   A Comparison between the SAEF Self-assessment Questionnaire and the Customised Questionnaire

Criterion (Criterion Weight)	Points/ 250	Original SAEF Questionnaire		Customised Questionnaire	
		No of Questions	Ratio Quest/Points	No of Questions	Ratio Quest/Points
Leadership (10%)	25	11	.44	12	.48
Policy and Strategy (7%)	17	4	.24	8	.47
Customer Focus (6%)	15	5	.33	7	.47
People Management (9%)	23	9	.39	11	.48
Resources Management (6%)	15	11	.73	7	.47
Processes (12%)	30	8	.27	14	.47
Social Responsibility (6%)	15	4	.27	7	.47
Customer and Stakeholder Satisfaction (17%)	43	2	.05	20	.47
People Satisfaction (9%)	22	3	.14	10	.46
Suppliers and Partnership Performance (3%)	7	10	1.4	4	.57
Organisation Result (15%)	38	10	.26	18	.47
TOTALS	**250**	**77**	**.05 to 1.4**	**118**	**.46 to .57**

5.6   STAGE TWO: TESTING A CUSTOMISED SELF-ASSESSMENT QUESTIONNAIRE FOR USE IN TRAINING UNITS WITHIN THE SANDF

5.6.1   Introduction

After analysing all the data that were received from the respondents during the fieldwork activities discussed in section 5.5, a final version of an organisational self-assessment questionnaire was constructed that was customised for use by training units in the SANDF. In November 2004 a formal self-assessment was again conducted to determine the levels of performance excellence of the SANDF COLET by making use of this refined customised self-assessment questionnaire.

5.6.2   Aim and Objectives

The aim of Stage Two of this case study was to test the reliability and validity of an adapted or customised self-assessment questionnaire that could be used by training units in the SANDF to determine performance levels within the unit.
The following objectives were identified for this second stage of the case study:

- To test the reliability and validity of a refined customised self-assessment questionnaire that was adapted or customised to address the culture and needs of training units within the SANDF.

- To evaluate the level of interrated reliability of the questionnaire to determine whether individuals (coders or raters) with different levels of experience and exposure to managerial functions, agree when implementing the rating system.

- To provide the executive management cadre of COLET with data on possible strengths and areas for improvement that would assist them in planning for future performance improvement initiatives.

- The main objective of this stage of the case study however remained: to collect qualitative data to determine the role of organisational self-assessment as a component of a continuous performance improvement programme.

5.6.3   Research Design of Stage Two

The design of Stage Two of the case study also followed an approach that is descriptive in nature to investigate the reliability and validity of a refined customised self-assessment questionnaire for use by training units within the SANDF. For this stage of the case study, members of the SANDF COLET were again (see Stage One) used as respondents in order to compare data obtained from this customised questionnaire with the results received when this unit used the SAEF Level 3 Self-assessment Questionnaire for Public Service Performance Excellence, in February 2004.

Stage Two of this case study included the following phases:

- Phase 1. <u>Preparation of all Unit Members</u>. A presentation was again conducted to inform members in the unit of the South African Excellence Model and the criteria that will be assessed. Members were however informed that the questionnaire had been adapted to address the culture and needs of training units in the SANDF.

- Phase 2. <u>Conduct Self-assessment</u>. The customised self-assessment questionnaire was used to conduct a formal self-assessment of the unit's activities and performance levels.

- Phase 3. <u>Analysis of the Self-assessment Data</u>. The data were analysed in order to determine the reliability and validity of the results of a customised self-assessment questionnaire in the context of an ETD provider in a military environment. An additional outcome of this phase was that not only perceived performance strengths but also the areas within the unit that would need improvement, were identified and provided the management team of the unit with some guidelines of aspects that could be considered when implementing a Continuous Performance Improvement Programme (see Table 5.8).

- Phase 4. <u>Feedback to Respondents</u>. A final group discussion was conducted with all the respondents. The scores of each criterion were discussed and the strengths and areas that needed to be addressed, were debated.

5.6.4 Population, Sample and Sampling

In November 2004 there were fifty-five (55) members staffed at COLET within the unit's approved structures on levels 4 to 13. Members staffed on levels one (1) to three (3) on external structures but working at COLET, attended the presentation but were excluded from completing the questionnaire, for the reasons as were discussed in section 5.4.4.

During the week of 5 to 12 November 2004, fifty-two (52) members from the unit were available to conduct the organisational self-assessment. Questionnaires were distributed to all these members. Forty-six (46) usable completed questionnaires were returned to the researcher and this number included:

- Eight (8) from levels 10 to 12.

- Thirty (30) from levels 7 to 9.

- Eight (8) from levels 4 to 6.

No sampling method was used, as all available members of the research population were included in the sample. The completed questionnaires represented 88.5% of the questionnaires distributed and 83.6% of the total population.

5.6.5   Capturing Quantitative Data

5.6.5.1. Introduction

This stage of the case study consisted of a customised questionnaire that was based on and adapted from an original SAEF Questionnaire and therefore also based on the South African Excellence Foundation Model (SAEM). The model criteria and the methods of scoring were as discussed in sections 3.4.4 and 3.4.5 of this study. Conducting an organisational self-assessment at COLET by using this customised instrument, provided the researcher with data that could be interpreted to achieve the following four outcomes:

- To determine the reliability and validity of using the customised self-assessment questionnaire within the context of a training unit in the SANDF.
- To compare the data with those collected by using the SAEF Self-assessment Questionnaire for Public Service Performance Excellence during Stage One of this case study.
- To provide the executive management of COLET with data on the unit's organisational strengths and areas that needed improvement.
- To collect additional qualitative data that would address the trustworthiness of the responses received and demonstrate the perceptions, behaviour and actions of members participating in an organisational self-assessment.

In order to achieve the first two outcomes, quantitative data were analysed and interpreted by using inferential statistics. Data were therefore statistically analysed to determine the reliability and validity of the instrument of assessment. In order to provide the unit management with feedback on organisational strengths and areas for improvement, descriptive statistics were used to render this quantitative information meaningful.

5.6.5.2. Levels of Measurement

The adapted or customised self-assessment questionnaire that was used to collect the data provided the variables that had to be measured and how they should be recorded. By recording the data as numerical values, the researcher was able to analyse the data by statistical means.

The rating system that was used in the customised questionnaire was based on that used by the SAEF's questionnaire. Small adaptations to the rating system were, however, included as part of customising the questionnaire. Feedback after using the SAEF's self-assessment questionnaire demonstrated that members had found it difficult to differentiate between the two lower ratings of "*Not Standard*" and "*Some Progress*". This aspect was addressed in the customised questionnaire by changing the grading system to *"Not at All", "Some Progress", "Good Progress"* and *"Fully Achieved"*. This implied that the lowest rating could now indicate that an area of performance was not addressed within the unit at all. The higher the category that was chosen the greater the status of performance would be. The variables that were measured on these scales were discrete variables that could only take whole number values namely 0 for "*Not at All*", 1 for "*Some Progress"*, 2 for "*Good Progress"* and 3 for "*Fully Achieved"*.

Although the researcher had his reservations about the assumed 'equal' intervals of the rating system, it was decided to use the same grading order as in the original SAEF self-assessment questionnaire. Many members in the SANDF were accustomed to these scales and it would also assist the researcher in comparing data with those received during Stage One of the case study.

Respondents' final results or scores were determined for each criterion in the following manner:

- The ticks (√) were totalled for each column of measurement and multiplied by the Factor for this measurement as was designed for the SAEM. This provided the Value score for each column.
- The Value scores were added to get a Total score for the criterion.
- The Total scores were divided by a number representing the number of questions per criterion in order to provide a % Achieved.
- These results (% Achieved) were multiplied by the weights of each criterion within the Excellence model to provide the Total Points for each criterion. These Total Points represented the current status of performance or excellence for each criterion.

The final score for each criterion, the percentages and the means were indicated as continuous variables with decimal fractions. Individual responses were measured and the frequency of each value had to be determined. These frequencies were converted to weighted totals, percentages and points to illustrate the levels of agreement.

In order to compare the data with those collected during Stage One of this research project, the data collected were again represented in three categories (Levels 10 to 12, Levels 7 to 9 and Levels 4 to 6) before integrating all data. Tables of summaries of the responses of each Level group as well as histograms representing these tables and the current status of performance were again designed in order to visually represent the data to the unit members during a final feedback session.

5.6.5.3 Averages or Measures of Tendency

In order to compare the respondents' answers to various questions and also determine other trends that could not be answered meaningfully by means of frequency distributions and graphs, the researcher obtained the mean as measure of central tendency to represent the whole distribution of measures. In order to compare the mean scores and other statistical computations, the criteria

weightings as in the South African Excellence Model were not used but results were calculated only by means of the four-point scale.

5.6.5.4 Measures of Variability

Just as in the case of Stage One of this case study, the researcher selected two basic statistical analysis methods to evaluate the reliability and validity of using this customised self-assessment questionnaire in a training unit of the SANDF. In order to compare the data received during this stage of the case study with those collected during Stage One, the Cronbach Alpha scores to determine internal consistency and the standard deviation to measure the degree of dispersion were again calculated.

5.6.6 Capturing Qualitative Data

Although this second stage of the case study also included the use of a questionnaire and a statistical analysis provided baseline data that could be used for purposes of comparison, the main objective of this stage of the case study, however, remained to collect qualitative data to determine the role and functions of organisational self-assessment as component of a CPIP. Even though considering the quantitative outcomes to determine the level of reliability and validity of using a customised questionnaire for organisational self-assessment in a training unit in the SANDF, the researcher also observed and listened to unit members in their natural setting in order to consider the qualitative ideas, suggestions, behaviours and relevant interaction of the actors in the case.

When discussing the results of the findings of this second stage of the case study, the researcher therefore addressed both quantitative and qualitative matters by considering the value of this organisational self-assessment for the management of COLET, the reliability of the customised self-assessment questionnaire for self-assessment in training units of the SANDF and the additional qualitative outputs of observing members of the unit over this period of time.

5.6.7 Discussion of Findings

5.6.7.1. The Value of Conducting Organisational Self-assessment by means of a Customised Questionnaire for the Management of COLET

All available unit members participated in this formal organisational self-assessment. Of the 52 questionnaires that were distributed to the unit members, respondents returned 46 usable questionnaires (see section 5.6.4). As the process simulated one of the SAEF's suggested self-assessment methods, the scores obtained provided the top management of COLET with data that could assist them in planning for and implementing a continuous performance programme. The members' perceptions of the unit's strong points as well as areas that needed improvement were identified according to the customised questionnaire. The highest scores obtained for *Organisational Results* and *Processes*, would represent the unit's strong points while the lowest scores (*People Satisfaction* and *Social Responsibility*) were the priorities for improvement (see Table 5.5). Significant changes in the perceived strong points and areas for improvement were observed when comparing the results with those obtained during Stage One of the case study. A discussion of these findings is provided in section 5.6.8.

A feedback session to all the members of the unit provided them with a basis of knowledge of their analysed perceptions of the unit's levels of performance in relation to the criteria of the South African Excellence Model. For unit planning and the implementation of a continuous performance improvement project in the unit, management was additionally provided with visual aids in the form of bar charts, diagrams and a completed self-assessment report to assist them in their decision-making. The measures of central tendency, measures of dispersion, frequency distributions and other descriptive statistics were also made available to aid unit planning.

5.6.7.2. <u>Statistical testing of the Reliability and Validity of the Customised Self-assessment Questionnaire</u>

As in the case in Stage One, an objective of this second stage of the case study was also to investigate the reliability of an instrument used for organisational self-assessment and especially to study the level of validity of the customised questionnaire when utilised within the context of an ETD provider in the military environment.

For a statistical analysis to test the reliability of the customised questionnaire as organisational self-assessment instrument, the following more sophisticated statistical analysis was again conducted.

- <u>Cronbach alpha scores</u>

Cronbach's alpha scores indicate the internal consistency of items within themes, factors or constructs. In relation to this second stage of the case study, the consistency reliability of all the customised items or questions per criterion was calculated. For validity the alpha coefficient could indicate that the items describe the construct in totality. A Cronbach alpha score was therefore used as an index of consistency or measure of agreement of the responses of the members that completed the questionnaire.

The results of the calculations of the alpha coefficient of the responses to the questions posed in the customised self-assessment questionnaire are indicated in Table 5.4. This table indicates a high or good internal consistency reliability for the items or customised questions within all the eleven criteria. The Cronbach alpha coefficients ranged between a low of 0.7791, which still demonstrates a very good internal consistency, and 0.9295. Although the alpha scores calculated when the SAEF self-assessment questionnaire was used (see section 5.4.7.2) were slightly better, with a low of 0.8023 and a high of 0.9479, the overall results confirmed an acceptable internal consistency reliability of the customised

self-assessment questionnaire as instrument for conducting organisational self-assessment in the selected unit.

Table 5.4   The Cronbach's Alpha scores for Responses to the Customised Questionnaire

CRITERIA	N	N of items	Chronbach's alpha
Leadership	46	12	.9012
Policy and Strategy	46	8	.8253
Customer and Stakeholder Focus	46	7	.7981
People Management	46	11	.9024
Resources and Information Management	46	7	.7739
Processes	46	14	.7534
Social Responsibility	46	7	.8551
Customer and Stakeholder Satisfaction	46	20	.9295
People Satisfaction	46	10	.9182
Supplier and Partnership Performance	46	4	.8299
Organisational Results	46	18	.7791

- Standard Deviation

The standard deviation was calculated as measure of variability and a measure of the degree of dispersion of the data from the mean value, to create a more accurate picture of the distribution of scores along the normal curve.

As was mentioned in section 5.6.5.2, the customised self-assessment questionnaire required respondents to respond to questions on the eleven criteria of the South African Excellence Model by rating each question on a graded order of 0 for *"Not at All"*, 1 for *"Some Progress"*, 2 for *"Good*

Progress" and 3 for *"Fully Achieved"*. The mean and standard deviation were calculated for responses to each criterion. The results of these calculations are indicated in table 5.5.

Table 5.5   The Standard Deviation from the Mean of Each Criterion When Using the Customised Self-assessment Questionnaire

CRITERIA	N	Mean	Std. Deviation
Leadership	46	1.4185	.5075
Policy and Strategy	46	1.5924	.4606
Customer and Stakeholder Focus	46	1.4969	.4485
People Management	46	1.4368	.5626
Resources and Information Management	46	1.6118	.4759
Processes	46	1.6460	.5294
Social Responsibility	46	1.2826	.5828
Customer and Stakeholder Satisfaction	46	1.5435	.4818
People Satisfaction	46	1.0609	.5725
Supplier and Partnership Performance	46	1.3424	.5854
Organisational Results	46	1.7307	.4802

The researcher considered and calculated the standard deviations in order to compare these deviations with the standard deviations of responses when using the SAEF Self-assessment Questionnaire during Stage One of the case study. This comparison demonstrated that the standard deviations were reduced for each of the eleven criteria assessed during stage two when the customised questionnaire was used (see table 5.6).

Table 5.6   Comparison of Responses from Stage One and Stage Two of the Case Study

	SAEF QUESTIONNAIRE				CUSTOMISED QUESTIONNAIRE			
CRITERIA	**N**	**N-Items**	**St Dev**	**Alpha**	**N**	**N-Items**	**St Dev**	**Alpha**
Leadership	44	11	.6025	.9133	46	12	.5075	.9012
Policy and Strategy	44	4	.5816	.8023	46	8	.4606	.8253
Customer and Stakeholder Focus	44	5	.6562	.8774	46	7	.4485	.7981
People Management	44	9	.6061	.8799	46	11	.5626	.9024
Resources and Information Management	44	11	.5845	.9004	46	7	.4759	.7739
Processes	44	8	.6500	.9314	46	14	.5294	.7534
Social Responsibility	44	4	.7577	.8665	46	7	.5828	.8551
Customer and Stakeholder Satisfaction	44	2	.7608	.8429	46	20	.4818	.9295
People Satisfaction	44	3	.7816	.8709	46	10	.5725	.9182
Supplier and Partnership Performance	44	10	.7149	.9479	46	4	.5854	.8299
Organisational Results	44	10	.6172	.9092	46	18	.4802	.7791

5.6.7.3. <u>Qualitative Data</u>

Although certain quantitative aspects regarding the reliability of the customised questionnaire were addressed, the researcher continuously utilised a qualitative approach to this case study in order to explain the conditions, activities, attitudes, behaviour and relationships of respondents qualitatively within the study. The researcher therefore also captured the qualitative ideas, suggestions, behaviours and relevant interaction of the members in the unit.

The formal feedback session, informal discussions with members, formal discussions during meetings and written responses on the questionnaires again provided the basis of capturing and analysing the qualitative data. The following is a summary of the main issues that were observed:

- In contrast to the large number during Stage One, only one respondent demonstrated a lack of understanding or ability to interpret the questions. On this unusable questionnaire the respondent indicated that the uncompleted questions were due to the fact that she did not know how to respond.

- The other unusable questionnaire was received from a respondent who indicated that he could not respond due to the fact that he believed that as newly appointed member in the unit, his responses would not be trustworthy.

- Although some junior members still admitted in discussions during the formal feedback session that they did not always understand the language (English) and managerial concepts used in the questionnaire, they appreciated that the questions were formulated in terminologies that were much more understandable to them.

- Some members said that they were still confused when using the grading system, as the four-scale grading system required for interpretation of what performance levels should be regarded as *"Some Progress"* or as *"Good Progress"* as these two responses could represent the 99% of all the levels of performance between zero (*"Not at All"*) and 100% (*"Fully Implemented"*).

- Members again expressed the opinion that the Results Criteria were difficult to answer, as the assessment of these criteria should be based on providing evidence that would substantiate the response. Members indicated that they did not always know what was happening in the other departments (Centres) and based their answers on the fact that they supposed that the evidence does exist. Members at the lower levels of employment particularly experienced this problem.

- Some members complained that completing the questionnaire was too time consuming and that they found it difficult to concentrate and provide trustworthy answers during the latter part of the questionnaire.
- Finally, informal discussions with members of the unit and formal decisions taken by management also demonstrated different perceptions of the value of the self-assessment by the members within the case study. Some members at lower levels of employment questioned the value of the self-assessment and believed that it provides for an additional workload. Members at higher and managerial levels of employment were more positive and enthusiastically awaited the outcome of the assessment.

5.6.8 Deductions

As all members within the unit formally conducted this self-assessment and the process simulated one of the SAEF's suggested self-assessment methods, the respondents' perception of the unit's strong points as well as areas that needed improvement, were identified. The scores obtained, therefore, provided top management of the unit with data that could assist them in implementing a CPIP.

For the purpose of this study the scores obtained were significant in so far as they could be interpreted to determine the reliability and validity of the customised self-assessment instrument. An analysis of the qualitative data obtained during Stage One of this study, when the SAEF Self-assessment Questionnaire was used, demonstrated that many factors could have influenced the respondents and contributed to wide standard deviations of scores (see section 5.4.7.3). Utilising an adapted or customised questionnaire sought to address these factors. For this reason deductions had to be made on the reliability and validity or trustworthiness of the customised questionnaire but also on the additional qualitative data received during Stage Two of the case study.

5.6.8.1   Reliability of the Customised Self-assessment Questionnaire When Used in a Training Unit of the SANDF

A reliable method of data-collection suggests that data with the same high level of consistency will have been collected each time in repeated use of an instrument and that the method used could therefore be trusted to provide the

data needed to analyse the research problem. The customised questionnaire was based on the official SAEF Self-assessment Questionnaire that is widely used by many organisations in South Africa. The problem considered was whether results would be enhanced if a customised questionnaire was used within an ETD context in a military environment.

It was mentioned in section 5.6.7.2 that the Cronbach alpha scores demonstrated a high level of internal consistency reliability when the customised self-assessment questionnaire was used within the context of an ETD provider in the DOD. This high level of internal consistency proved the extent to which the customised instrument assessed the same characteristic, skill or quality of the items within each criterion (see table 5.4).

When calculating the standard deviations of all the responses in order to compare these deviations with the standard deviations of responses when using the SAEF self-assessment questionnaire during Stage One of the case study (see table 5.6), the results demonstrated a reduction in the standard deviations of all the criteria scores when using the customised questionnaire.

Although qualitative data obtained suggested that responses of supervisors or members on higher levels of employment (Levels 10 to 12) who are involved in management and quality assurance activities, should have provided more reliable results, this could not be conclusively confirmed by a quantitative analysis of the data (see table 5.7). When comparing the scores of these managers with those of members not in positions of supervision, the managers provided superior alpha scores in only seven of the eleven criteria and reduced standard deviations in only six of the eleven criteria.

Table 5.7   A Comparison between the responses on Supervisors and Subordinates

Criteria	Subordinates			Managers			Difference	
	N	Alpha	St Dev	N	Alpha	St Dev	Alpha Delta	St Dev Delta
Leadership	38	0.8982	0.2733	8	0.9420	0.4629	0.0438	0.1896
Policy and Strategy	38	0.7995	0.2263	8	0.8884	0.4629	0.0889	0.2366
Customer Focus	38	0.7996	0.2263	8	0.8063	0.000	0.0067	-0.2263
People Management	38	0.9015	0.2733	8	0.9260	0.4629	0.0245	0.1896
Resources Management	38	0.7901	0.3695	8	0.7346	0.3536	-0.0555	-0.0160
Processes	38	0.7217	0.3426	8	0.9086	0.3536	0.1869	0.0110
Social Responsibility	38	0.8752	0.2263	8	0.3635	0.000	-0.5117	-0.2263
Customer Satisfaction	38	0.9291	0.3426	8	0.9048	0.000	-0.0243	-0.3426
People Satisfaction	38	0.9183	0.1622	8	0.8594	0.000	-0.0589	-0.1622
Supplier Performance	38	0.8001	0.2733	8	0.9458	0.4629	0.1457	0.1896
Organisational Results	38	0.7726	0.4309	8	0.8381	0.3536	0.0655	-0.0773

5.6.8.2   <u>Validity or Trustworthiness of the Customised Self-assessment Questionnaire When Used in a Training Unit of the SANDF</u>.

When designing Stage Two of this study the researcher intended to investigate his assumption that by using a customised self-assessment questionnaire, it would be possible to gain more trustworthy data on the status of performance excellence within a training unit of the SANDF. To ensure the validity of the study, all factors or variables that could influence the results of the investigation had to be indicated and considered. As the case study was observed in its natural environment, variables were not controlled as in an experimental design. The qualitative data collected also assisted in judging the trustworthiness of the particular research design and whether it had included or addressed all possible variables that could have explained the variations in

recorded data. The perceived internal validity of the research design was based on the following:

- For Face Validity it seemed a reasonable way to gain the information the researcher was attempting to obtain. The questionnaire was assumed to be well designed and all the inputs from a representative sample were included in the design of the customised questionnaire.

- Criterion Related Validity was based on the assumption that the design of this customised questionnaire was based on the South African Excellence Model and influenced by generally accepted international designs like the European Excellence Model and questionnaires.

- Construct Validity was assumed on the basis that the questionnaire addressed the eleven criteria designed as part of the SA Excellence Model for improving performance excellence and that all concepts related to the criteria were well defined within the model. The improved ratio for questions to criteria-weights was also assumed to improve the construct validity.

- Content Validity was believed to be obtained because the eleven criteria as well as all the areas that were to be addressed as part of each criterion were included in different questions.

The quantitative data however demonstrated some significant changes in the outcomes when using the customised questionnaire. The criteria, *Organisational Results*, *Processes* and *Resources and Information Management* that were assessed as the three strongest points of the unit, were assessed as areas that needed improvement when using the SAEF questionnaire (see Table 5.8). Especially *Organisational Results* improved dramatically from the worst to the best score when using the customised questionnaire. Although the history (events within the environment), test effect (repeating a test) and maturation (attitudes within the respondents), could all have contributed to this change in results, it should be noted that these three criteria needed considerable adaptations when formulating the questions to suit the needs and culture of ETD units in a military environment. The decline in the scores of the two criteria that were previously assessed as the unit's strong

points (*Leadership* and *People Management*) could be contributed to two possible reasons. First, as perception based response, any event such as the change of command or any complimentary or disciplinary actions taken by management just prior to the self-assessment would have affected the responses. Second, the fact that there was a change in command just prior to the self-assessment could also have had a significant effect on the outcome of these criteria. These factors could have influenced the validity of the responses to this organisational self-assessment.

When evaluating the validity or trustworthiness of the customised self-assessment questionnaire, it became clear that the trustworthiness of the responses could still not be accepted without reservation. Significant changes in the responses when the data received when using the SAEF's Self-assessment Questionnaire and those of the customised questionnaire were compared, demonstrated that other factors or variables could have influenced these outcomes.

5.6.8.3   Additional Deductions from Qualitative Data Gathered

Although quantitative aspects regarding the reliability of the customised questionnaire were addressed, the researcher continuously utilised a qualitative approach and by means of continuous observation captured the qualitative ideas, suggestions, behaviours and relevant interaction of the members in the unit in order to explain certain conditions, activities, attitudes, behaviour and relationships of respondents within the study.

The following is a summary of the deductions that were made from the qualitative data gathered during this stage of the case study:

- Respondents demonstrated a better understanding of what was required and what had to be assessed when they were expected to conduct an organisational self-assessment by using a questionnaire that was formulated in ETD and military related terminology.

- Members at the lower levels of employment particularly experienced problems when expected to assess and know if evidence exists of actions that are more commonly or regularly executed in other departments.

- Members who were newly appointed and with less than one year of experience in the unit could not truly reflect on all the matters that were assessed. In an environment of promotions and transfers to other units within the SANDF, this employer turnover could affect the outcome of any organisational self-assessment.

- The aim of using a questionnaire for organisational self-assessment must be clearly defined. A questionnaire for involving and empowering members at all levels of employment in the unit, need not include questions on all the areas within a criterion but only those that would ensure their involvement and provide enough data to determine certain trends.

- A more acceptable grading system could be investigated, as the applied system could be confusing and required members to provide their own interpretation of when a level of performance should be regarded as only "*Some Progress*" and when it could be accepted as "*Good Progress*". Where a response of 0 implied that nothing was done (0%) and a 3 demonstrated that the assessed performance was fully achieved (100%), the two ratings of 1 ("*Some Progress*") and 2 ("*Good Progress*"), represented the whole spectrum of all other possible levels of performance. Using a well defined five or seven point Likert scale that provides for a wider range of responses from all unit members could enhance the quality of these responses.

- Conducting an organisational self-assessment in the SANDF COLET contributed to reaching two of the main aims of organisational self-assessment. It served as a starting point for a structured approach to continuous performance improvement and assisted in identifying specific strengths and areas for improvement within the unit.

- In addition to supplying a baseline of data that could be used for purposes of comparison during following improvement cycles (see section 2.3.1.5), this assessment also increased quality awareness in all aspects

of the unit and encouraged and motivated some employees to become personally involved in improvement activities.

- Data received when using a questionnaire as method of organisational self-assessment, is usually based on perceptions of the respondents and many factors may influence their decisions. The fact that one criterion improved from being rated the worst in February 2004 to being assessed as the strongest point of the unit in November 2004, could be an indication of how factors within the environment, the respondents or the assessment instrument could all have possibly influenced the decisions of the respondents (see section 5.6.7.1.)

- Finally although members at lower levels of employment expressed their appreciation for being included in the self-assessment process, different perceptions existed of the value of the self-assessment by the members within the case study. Members at higher and managerial levels of employment were more positive and enthusiastically awaited the outcome of the assessment as it would provide them with data for future planning. More members at lower levels of employment complained about the time involved and the additional workload of completing self-assessment questionnaires.

5.6.9   Conclusion

The results of this self-assessment using the customised self-assessment questionnaire provided the unit with data for guidelines of strengths and areas for improvement in the unit that would assist management in addressing the priorities when launching a CPIP. The implementation of this programme will be discussed in section 5.8.

A statistical analysis demonstrated the internal consistency reliability of the customised questionnaire that was used for this organisational self-assessment. Reduced standard deviations in the scores illustrated the advantages of using a customised questionnaire in a training unit in the SANDF. When conducting self-assessment of performance excellence within a training unit of the SANDF, a reliable customised self-assessment questionnaire could thus enhance the quality of the responses received. Qualitative data that were collected, however, indicated that other factors over and above the quality of the self-assessment questionnaire could influence the responses provided by members of

the unit. Events within the unit, the knowledge, skills and attitudes of the respondents and the test effect of repeating a very similar assessment, could all have contributed to the changed results.

Although including all unit members in a self-assessment process will promote motivation and involvement, all members do not have the necessary knowledge to assess the management processes or activities not directly related to their departments. This problem could be addressed by requiring management to complete the customised questionnaire but also designing an additional simplified questionnaire (see Appendix E) that could be completed by all the members that are not officially responsible for management or quality assurance in the unit. The main aims of this simplified questionnaire must be to enhance involvement, stimulate discussion and provide an opportunity for learning more about the South African Excellence Model. By concentrating on those issues in each criterion of the South African Excellence Model that could provide more trustworthy responses from these members in the unit, the responses could provide management with additional quantitative data for completing plans for performance improvement.

Diagram 5.2   Example of a Simplified Questionnaire

PERFORMANCE SURVEY						
Answer all questions by using the rating system explained above	☹	☹	😐	🙂	😊	😄
Criterion 1: Leadership						
1.1 Do the leaders in my unit visibly demonstrate their commitment to a continuous improvement?	1	2	3	4	5	6
1.2 Do the leaders in my unit act as role models?	1	2	3	4	5	6
1.3 Do the leaders in my unit search for new ETD opportunities and approaches?	1	2	3	4	5	6
1.4 Do the leaders in my unit respond to the needs and suggestions of the unit's staff members?	1	2	3	4	5	6
1.5 Do the leaders in my unit support improvement opportunities for unit members?	1	2	3	4	5	6
1.6 Do the leaders in my unit effectively use compliments or awards to encourage improvement?	1	2	3	4	5	6
Criterion 2: Policy and Strategy						
2.1 Do members in my unit contribute to the development of ETD policies in the wider DOD?	1	2	3	4	5	6
2.2 Does my unit develop unit policy and plans based upon the SAQA Act?	1	2	3	4	5	6
2.3 Does my unit develop unit plans and processes based upon customer requirements?	1	2	3	4	5	6
2.4 Does my unit regularly review performance requirements and performances?	1	2	3	4	5	6
Criterion 3: Customer and Stakeholder Focus						
3.1 Does my unit implement an approach of taking customers and stakeholders needs into account?	1	2	3	4	5	6
3.2 Does my unit use surveys or questionnaires to gather information from all its customers?	1	2	3	4	5	6
3.3 Does my unit implement methods to determine customer satisfaction with training presented?	1	2	3	4	5	6

The researcher assumed that more reliable data would be gathered if, after completing a self-assessment questionnaire, a workshop by a carefully selected committee or panel of unit members were conducted. Other methods of assisting or facilitating group decision-making could be used during such a workshop. A workshop including an alternative decision support method to assist or facilitate group decision-making was therefore conducted as Stage Three of this case study.

5.7 STAGE THREE: CONDUCTING A SELF-ASSESSMENT WORKSHOP

5.7.1 Introduction

It was indicated in section 5.6.9 that using a questionnaire as instrument and method of organisational self-assessment could assist in involving and motivating all the members in the unit. It was, however, also demonstrated that everybody in the unit does not necessarily have the knowledge or skills to assess management processes or activities not directly related to their departments. Questionnaires are therefore appropriate for basic awareness training and are sufficient to provide the participants with the required knowledge of the aim of the assessment and procedures that will be followed. The results are, however, mainly based on the opinions or perceptions of the respondents. A workshop however comprises an approach where management is responsible to discuss evidence they have gathered and reach consensus on the organisation's strengths and areas to be addressed. It could therefore be advantageous to use the data gained from a questionnaire in support of the other evidence collected. A workshop by a carefully selected committee or panel of unit members, based on evidence collected prior to the workshop and the results of a questionnaire during the workshop, could enhance the results of the organisational self-assessment.

As was mentioned in section 2.3.1.6, one can identify five important components of a workshop process. These components include training of the members involved, the gathering of the data that will be discussed during the workshop, the method that will be used to score criteria during a workshop, gaining consensus and agreeing on improvement actions. A workshop method of self-assessment could get management committed to a performance improvement plan. Discussions and agreement by the management team also help to build a common view on the current state of the organisation and this could lead to ownership by the management team of the outcomes

of the workshop.

Reaching consensus on issues could, however, prove to be difficult within the context of a group-decision making process. Authoritative figures, compromises, personal preferences and many other contributing factors that are discussed in section 2.3.2 of this study could influence the value of the consensus reached.

A workshop by a selected group of members involved in unit management was conducted that included the facilitation of group discussions to reach consensus to questions in a questionnaire based on evidence of performance that was gathered before the activity. This workshop that included a method to enhance group decision making, was conducted as Stage Three of this case study.

5.7.2   Aim and Objectives

The aim of Stage Three of this research project was to conduct a self-assessment workshop and include a three-phase decision support method to facilitate the group decision-making process to determine the levels of performance excellence within a training unit of the SANDF. The objectives of this self-assessment were:

- To determine the unit's organisational strengths and also the areas that needed improvement based on facts and evidence available.
- To motivate the management cadre of the unit to become involved and accept ownership for organisational performance improvement.
- Provide scores that could be used to determine a continuous performance improvement strategy and recommend plans for the future that would include responsibilities, control measures, processes and techniques.
- Contribute to achieving a common sense of purpose and provide direction for everyone in the unit.

5.7.3   Research Design

In February 2005 a formal self-assessment workshop was conducted in the unit with a carefully selected sample of members that were involved in managing performance within

the unit. A three-phase decision support method was used to assist or facilitate the group decision making or to test the members' views on the consensus scores decided upon.

Stage Three of the research project included the following phases:

- Phase 1. <u>Select a Representative Sample for a Workshop</u>. A judgmental sampling method was used to select a research sample that would represent the population but would include members that were knowledgeable of all the activities performed in the unit and could provide evidence of performance achievements in the unit (see section 5.7.4).

- Phase 2. <u>Plan and Prepare for the Workshop</u>. The customised self-assessment questionnaire used during Stage Two of the case study was adapted by reducing the number of questions to assure the feasibility of conducting the workshop within one day (see section 5.7.5.1).

- Phase 3. <u>Conduct a Self-assessment Workshop</u>. A formal self-assessment workshop was conducted of the unit's activities and achievements. This phase included a discussion of the questions for each criterion, individual ratings by members of the workshop, a group-discussion to accept a consensus rating and then a final anonymous response to the accepted consensus rating.

- Phase 4. <u>Analysis of the Self-assessment Data</u>. The performance strengths but also the areas within the unit that would need improvement, were identified. More important for this research project however was the fact that the results from group decision-making and consensus as a choice aggregation as well as individual preferences could be compared.

- Phase 6. <u>Feedback to Respondents</u>. A final feedback discussion was conducted with all the respondents. The scores of each criterion formed the basis of the discussions to determine general agreement for an approach to the implementation of improvement actions.

5.7.4   Population, Sample and Sampling

A qualitative analysis of data during Stages One and Two of this case study revealed that other factors over and above the quality of the self-assessment questionnaire could influence the responses provided by members of the unit (see section 5.6.9). One factor identified was that members not directly involved in quality management in the unit, did not always understand the concepts that were assessed and did not always have a holistic view of activities performed in the other departments of the unit. For this reason it was decided to conduct an organisational self-assessment workshop and only include those members that are involved in roles of management, supervision or quality assurance.

Including the Acting Commandant and the researcher, there were fifty-five (55) members staffed at COLET within the unit's approved structures during February 2005.

For this third stage of the research project the researcher decided to use a judgmental or purposive sampling method and selected all the unit members that met the following selection criteria:

- This research sample should include military or Defence Act Personnel (DAP) as well as civilian employees or Public Service Act Personnel (PSAP).
- These members had to be staffed on levels eight (8) to twelve (12) within the unit structures.
- Members had to be involved in and responsible for quality management within their departments, centers or teams.
- Members had to be staffed in the unit for at least one year to have the necessary knowledge of activities within the unit.

During February 2005 the following members were available that complied with the selection criteria:

- The Acting Commandant of the unit.
- Two (2) of the Centre Managers (Level 12).
- Four (4) Team Leaders (Levels 8 to 10).

- Three (3) Military University Educators or Researchers (Level 9 to 10)
- One (1) Module Designer.
- One (1) member of the Quality Management Committee.
- The Master At Arms (1) of the Unit.

These thirteen members that complied with the selection criteria all attended the workshop.

5.7.5 Data Collection

The research design for this Stage Three of the research project was based on a workshop involving a discussion of a questionnaire that required members to assess criteria based on quantitative evidence. Group decision-making and consensus, as a choice aggregation was also included during the workshop. Data were then organised, summarised and visually represented by means of descriptive statistics.

5.7.5.1   Levels of Measurement

The customised self-assessment questionnaire that was used during Stage Two of the case study was adapted to assure the feasibility of conducting the workshop within one day (see Appendix D). This adapted workshop questionnaire resembled the customised questionnaire and only the number of questions was reduced from 118 to 60 to provide enough time for group discussions. All the criteria and sub-criteria were addressed and only questions on additional areas within sub-criteria were omitted. This workshop questionnaire provided the variables that had to be measured and the method how they should be recorded.

A full and formal self-assessment workshop of the unit's activities and achievements was conducted which included the following steps:

- A short presentation on the South African Excellence Model, each criterion and each question that had to be answered.

- Members marked their personal responses to the questions on the workshop questionnaire. These individual responses were completed one criterion at a time.
- The researcher facilitated a group discussion and group decision-making process in order for the group to accept consensus ratings as choice aggregation for each question.
- Each member again had the opportunity to answer each question individually in order to anonymously convey his or her preferences or perceptions of the extent to which he or she agreed or still disagreed with the consensus group-decision.

In order to assist comparison with data received previously, the same measurements were used as in Stage Two of this case study. Data were ranked in terms of a graded order, as *"Not at All", "Some Progress", "Good Progress" and "Fully Achieved"*.

The variables that were measured on these scales were discrete variables that could take the number values of 0, 1, 2 and 3. The final results provided three different types of data that could be compared and analysed. First the individual pre-consensus responses by the members of the workshop could be compared with the scores received from the responses by the larger sample of unit members during previous stages of the research. Second, a consensus rating (see table 5.8), accepted by the group after discussing each question, could be compared with the mean scores provided during Stages One and Two of this research project. Finally, the anonymous individual responses to the consensus ratings could reveal some personal beliefs or perceptions of individual respondents in terms of specific questions or areas that were assessed. Using this three-phase decision support method attempted to allow for positive group dynamics, debate, balanced disagreement and consensus while still providing an opportunity for individual autonomy.

5.7.5.2   Comparing Scores of Workshop and Self-assessment Questionnaires

For comparing the individual and consensus responses when conducting the organisational self-assessment workshop with the scores received during

Stages One and Two of the case study, the scores were determined in the same manner as during these stages (see sections 5.4.5.2 and 5.6.5.2).

Table 5.8 presents the mean scores, using the four-point scale, that were calculated for the responses during Stages One, Two and Three of this study. The changes in the mean scores from the previous self-assessment conducted are presented as percentages. Increased mean scores are indicated in green while decreased scores are specified in red. An interpretation of these scores is provided in section 5.7.6.

Table 5.8   Comparing the Workshop Mean Scores with the Mean Scores from Stages One and Two

CRITERIA	SAEF Questionnaire	Customised Questionnaire	Pre-Consensus Score	Consensus Score
Leadership	1.5847	1.4185 (10.5%)	1.52 (8.3%)	1.5000 (1.7%)
Policy and Strategy	1.5682	1.5924 (1.5%)	1.62 (1.9%)	1.5000 (7.4%)
Customer Focus	1.4909	1.4969 (0.4%)	1.44 (4%)	1.2400 (13.9%)
People Management	1.6313	1.4368 (11.9%)	1.51 (4.9%)	1.5000 (1%)
Resources Management	1.4463	1.6118 (11.4%)	1.78 (10.6%)	1.7600 (1%)
Processes	1.4659	1.6460 (12.3%)	1.66 (0.9%)	1.4300 (10.2%)
Social Responsibility	1.3807	1.2826 (7.1%)	1.04 (18.8%)	1.0000 (3.8%)
Customer Satisfaction	1.3409	1.5435 (15.1%)	1.44 (6.5%)	1.2976 (9.7%)
People Satisfaction	1.2045	1.0609 (11.9%)	0.70 (34%)	0.6000 (14.3%)
Supplier Performance	1.3318	1.3424 (0.8%)	1.41 (5%)	1.5000 (6.4%)
Organisational Results	1.1636	1.7307 (48.7%)	1.26 (27.2%)	1.3736 (8.7%)

As was also mentioned in section 5.4.7.1 these scores represented the perceptions of the respondents of the relative levels of performance, which were relevant within their own unit, and scores cannot be compared with scores obtained by self-assessments by other units or organisations. The main purpose

of this self-assessment questionnaire was primarily to determine the criteria that were the priorities for improvement. The primary aim of the self-assessment is not to seek responses that represent absolute scores but rather determine relative ratings of the criteria, which could assist the unit management in planning and managing performance excellence improvement within the unit. Table 5.9 provides a comparison of these criteria ratings during the three stages of the case study. An interpretation of these results is discussed in section 5.7.6.

Table 5.9   Strong points and Areas that Need Improvement as Assessed During Stages One, Two and Three of the Case Study

	STAGE ONE SAEF Questionnaire	STAGE TWO Customised Questionnaire	STAGE THREE Workshop Consensus
Strong Points ↑	People Management	Organisational Results	Resources Management
	Leadership	Processes	Leadership Policy and Strategy People Management Supplier Performance
	Policy and Strategy	Resources Management	
	Customer Focus	Policy and Strategy	
	Processes	Customer Satisfaction	
Areas for Improvement ↓	Resources Management	Customer Focus	Processes
	Social Responsibility	People Management	Organisational Results
	Customer Satisfaction	Leadership	Customer Satisfaction
	Supplier Performance	Supplier Performance	Customer Focus
	People Satisfaction	Social Responsibility	Social Responsibility
	Organisational Results	People Satisfaction	People Satisfaction

5.7.5.3   Comparing Level of Agreement with Consensus Decisions

For comparing the respondents' level of agreement with the consensus reached by way of the group decision-making process, each question was analysed to

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compare the group members' responses prior to and after being exposed to the group discussions and reaching of these consensus ratings.

For this reason a three-phase method was used within the workshop, which implied that group members did three ratings of each question on the workshop questionnaire. First, the group members individually performed a full set of ratings of an assessment criterion without conferring with the other participants. In the second step the group discussed these individual ratings and came to a *consensus* rating, for the group, recorded by each group member. Finally, each member again provided their ratings *individually* (and anonymously), having had both his first individual rating and the group consensus rating available to 'guide' his final preference. The principle was that this final step incorporated - in the final individual ratings - both a protection against domination (being confidential) and openness to group and deliberation influences. Each participant was open to accept or reject any information, or view, expressed during the group discussion and to express these views individually, without being subjected to pressure from any of the other group members.

In summary, this three-phase approach attempted to address all requirements presented by allowing positive group dynamic influences, providing deliberation and debate, and a mechanism to balance dissent and consensus while maintaining a marked degree of autonomy (Von Solms & Peniwati: 2001b).

5.7.5.4   Data Collected by Means of a Three-Phase Approach.

Table 5.10 indicates the responses received when conducting an organisational self-assessment workshop using a three-phase approach.

When comparing the responses of workshop members during the three phases of the workshop, the following could be deduced:

- When comparing the consensus scores with those scores obtained by means of the pre-consensus questionnaire, the group discussions generally influenced members to be more critical of their views and choose lower consensus scores in nine criteria. Only *Supplier Performance* and

Organisational Results achieved slightly better scores. The differences in scores were acceptable and as were expected and none of these changes needed additional consideration.

- Although differences still existed after consensus scores were determined and all members did not always support the consensus scores that were decided upon, a comparison between the consensus and post-consensus scores demonstrated that these differences were insignificant from a statistical point of view.

- Only in the case of *Policy and Strategy* did the consensus and post-consensus scores remain the same.

- After the discussions the ranges of scores decreased in nine criteria while two remained the same.

- The post-consensus standard deviations were reduced in nine criteria while for two criteria the deviations were insignificantly wider.

Table 5.10   Comparison of Responses During the Three Phases of an Organisational Self-assessment Workshop

	Pre-Consensus Scores			Consensus Scores	Post-Consensus Scores		
CRITERIA	**Mean**	**Range**	**Stand Dev**		**Mean**	**Range**	**Stand Dev**
Leadership	1.52	0.99 – 2.17	0.573	1.5	1.48	0.99 - 2.02	.5441
Policy and Strategy	1.62	1.25 – 2.26	.589	1.5	1.5	1.25 - 2.01	.5284
Customer Focus	1.44	1.24 – 2.02	.537	1.24	1.38	1.24 - 1.76	.4885
People Management	1.51	1.16 – 2.33	.611	1.5	1.51	0.99 - 1.84	.5028
Resources Management	1.78	1.24 – 2.26	.513	1.76	1.66	1.24 - 2.02	.4469
Processes	1.66	1.14 – 2.15	.539	1.43	1.5	1.14 - 1.86	.4668
Social Responsibility	1.04	0.5 – 1.5	.700	1.0	0.92	0.5 - 1.5	.7241
Customer Satisfaction	1.44	0.89 – 1.9	.625	1.29	1.30	0.99 - 1.60	.4656
People Satisfaction	0.70	0.0 – 1.2	.517	0.6	0.68	0.0 - 0.99	.5118
Supplier Performance	1.41	0.99 – 2.01	.508	1.5	1.54	0.99 - 2.01	.5091
Organisational Results	1.26	0.5 – 2.01	.681	1.37	1.25	0.50 - 1.63	.5569

The mean scores of the responses did not show a significant change across the three phases of the workshop but this could be due to mainly two reasons. First, the smoothing effect of averaging not only over the thirteen (13) members' scores but also of averaging over different questions within a particular criterion. Second, the rating scale of only four categories of which one category represented a zero. The improvement of the ranges of scores and standard deviations were evident and demonstrated the influence that the group discussions had on the views of the individual members.

5.7.6   Discussion of Findings

As members who were responsible for quality management within the unit participated in this self-assessment workshop, and the process simulated one of the SAEF's suggested self-assessment methods (see section 2.3.1.6), the scores obtained provided the top management of COLET with additional data that could assist them in implementing their Continuous Performance Improvement Programme. The workshop identified as consensus decisions, the unit's strong points as well as areas that needed improvement. The highest scores as indicated in tables 5.8 and 5.9 namely *Resource Management, Leadership, Policy and Strategy, People Management* and *Supplier Performance* would represent the unit's strong points while the lower scores for *Customer Focus, Customer Satisfaction* and *People Satisfaction*, indicated that the workshop members identified these criteria as the priorities for improvement.

When comparing the responses of the workshop with those of Stage One and Two of the case study, it could be noted that the eleven criteria were ranked at various levels of performance during the three stages of the case study (see table 5.9). Examples of this are *Organisational Results* that was ranked 11th (SAEF questionnaire), then 1st (Customised questionnaire) and finally 7th during the workshop. Other criteria like *Customer Focus* and *Supplier Performance* were also rated as strong points as well as areas that need serious attention in the different stages of the case study. Only *Policy and Strategy, Resource Management* and *Processes* were always assessed, as strong points while *Social Responsibility* and *People Satisfaction* were areas that needed to be addressed. These differences in responses therefore confirmed the researcher's assumption that different methods of conducting organisational self-assessment could

provide different results and that the reliability and validity of organisational self-assessment approaches and methods should be investigated.

5.7.7   Conclusions

The methods of organisational self-assessment that were used during Stages One and Two of this case study were based on the point of view that individual decision makers assessed performance levels by means of a questionnaire that provided responses for a quantitative analysis. The design of Stage Three of the case study employed a method where members who participated in a self-assessment workshop also had distinct viewpoints and where a final decision or response was recorded only after these members had discussed and reached a consensus response to questions posed.

It is believed (e.g. SAEF 2001a:29) that a workshop method of self-assessment would help to build a common view on the current state of the organisation. When discussing the advantages of a workshop for organisational self-assessment, group decision-making is therefore often approached exclusively from a perspective that assumes the existence of highly similar views, goals and values amongst the group members. Quantitative (individual scores) and qualitative responses (observing disagreement during discussions) during the workshop however indicated the existence of different views among workshop participants. The ranges of scores demonstrated these effects of disagreement when the pre-discussion and post-discussion individual scores were compared. Although the results of this analysis confirmed that one could not assume that members working in the same unit will generally develop common views and perceptions, the different views that existed among members of the group were observed to be diverse inputs that stimulated debate and enabled the group to achieve higher-quality solutions. The consensus scores obtained during the self-assessment workshop therefore provided improved data required when planning for continuous performance improvement.

Although effective participation during the workshop was therefore not without its challenges and managers and facilitators should continually assess their methods and approaches to participation and group decision-making within organisational self-assessment approaches, the value of both group learning and the social influence of group discussion were evident in the results of the workshop.

Qualitative aspects that were observed by the facilitator during the workshop also indicated that many factors over and above the quality of the self-assessment method could have affected the responses provided by the workshop members. In addition to personal views of group members, other factors like domination and power of a group member; pressures to conform and groupthink could have affected choice aggregation outcomes. Events within the unit, the knowledge, skills and attitudes of the respondents and the test effect of repeating a very similar assessment, could also have influenced the responses The three-phase approach as an alternative to only consensus decisions that was used during this workshop could, however, also be used as an additional method to enhance the quality of the decisions taken as it addresses the benefits of group discussions and individual choice while also mitigating the possible threats or risks of traditional debate and consensus decision-making as discussed in section 2.3.2.

During Stage One of this case study members were introduced to and learned how to use the South African Excellence Model as framework for Organisational self-assessment. Using the generic SAEF Self-assessment Questionnaire provided data on members' perceptions of performance levels in the unit. In Stage Two of the study the quality of the responses during an organisational self-assessment were enhanced by using a customised questionnaire which included the terminology and addressed the needs and culture of training units within the SANDF. In Stage Three, however, data were gathered during a self-assessment workshop. Assessments of performance levels were based on evidence collected and selected members' knowledge of processes and activities within the unit. Sharing information, group discussions and seeking consensus on the levels of performance also enhanced the quality of the responses. Where the responses during the first two stages of the case study were primarily based on the respondents' perceptions of performance levels, the workshop added the dimensions of assessing evidence collected and experienced members sharing expertise and knowledge during facilitated group discussions.

Performance self-assessment designs must therefore address the aspect of personal individual subjective perceptions by also focusing on methods or processes of collecting evidence to substantiate the level of performance within the organisation. The implementation of a CPIP within the case study and the search for an effective method that would assist managers of training units in the SANDF in collecting and capturing the

evidence of quality and levels of performance, are discussed as Stage Four of this case study.

5.8 STAGE FOUR: THE IMPLEMENTATION OF A CONTINUOUS PERFORMANCE IMPROVEMENT PROGRAMME

5.8.1 Introduction

As was discussed in section 4.1.1 of this study, the Department of Defence Instruction (DODI): Policy and Planning No 24/2000, was authorised and issued for implementation in the DOD on 1 June 2000. The aim of this policy on the DOD's Continuous Performance Improvement Programme is to ensure the institutionalisation of the best continuous performance practices in the Department. The policy further mandates the introduction of the DOD's own Continuous Performance Improvement Competition and an annual Quality Awards Ceremony based on the quality criteria of the South African Excellence Model.

This instruction requires that the programme should be executed down to the lowest applicable levels of command and management and for this reason all training Units within the DOD must also implement this instruction. For this reason the SANDF COLET's Executive Committee decided in early 2004 to embark on a Continuous Performance Improvement Programme and investigate the possibility of applying for a Quality Award in 2006.

5.8.2 Aim and Objectives

The basic objective for seeking optimal reliable and valid results by conducting organisational self-assessments in the unit by means of the SAEF Self-assessment Questionnaire (see section 5.4), utilising a Customised Self-assessment Questionnaire (see section 5.6) and ultimately conducting a Self-assessment Workshop (see section 5.7), was to determine the levels of performance in order to plan for and Implementing a CPIP.

The aim of Stage Four of this case study was therefore to observe and report on the implementation of a CPIP in the selected training unit of the SANDF. This stage included

an extensive, narrative report of what had happened over a given period of implementation and provided a context for interpreting findings of interventions and implementation variability. The stage also aimed to describe a series of diverse continuous events, set in an organisational framework and in a well-defined environment. The following objectives were identified for this research activity:

- To assess the implementation of a performance improvement initiative, within the context of everyday and natural experiences of the respondents.
- To discern whether the implementation of a continuous performance improvement strategy complied with the intent.
- To systematically observe events, collect data, analyse information and report the results.
- To gain an improved understanding of why certain occurrences happened as they did.
- To determine what might become important to investigate more extensively in future research.

5.8.3   Research Design For Stage Four

A Continuous Performance Improvement Project was scheduled and implemented in the unit in the following phases:

- Phase 1
  - o The need for a CPIP and the South African Excellence Model was explained to all the members in the unit.
  - o The vision, mission and key values of the unit were revisited and discussed with all unit members.
  - o The results of the self-assessment workshop were analysed and interpreted for integration into unit plans.

- Phase 2
  - o A CPIP Committee consisting out of eleven Criteria Champions was selected, each member responsible for addressing improvement issues in an allocated criterion.

- o Criteria Champions analysed the data from the self-assessment workshop and identified possible actions to be taken to improve performance in their individual criteria.

- Phase 3
  - o A CPIP implementation strategy was developed by integrating the objectives of all the individual Criteria Champions and additional recommendations for implementation were provided.

- Phase 4
  - o The implementation of the CPIP was monitored until November 2005.
  - o Evidence of achievements of performance improvement or challenges experienced was recorded.

- Phase 5
  - o A progress report on performance improvement in the unit was completed.
  - o Members of the CPIP Committee planned for the repetition of these phases to ensure continuous performance improvement.

5.8.4 Project Implementation Activities

During the organisational self-assessment workshop that was conducted as Stage Three of this study, the members identified the following strong points and areas that should be addressed:

- Strong points. Resources Management, Leadership, Policy and Strategy, People Management, Supplier Performance and Processes.
- Areas that need to be addressed. Customer Focus, Customer Satisfaction, Social Responsibility, People Satisfaction and Organisational Results.

During this workshop eleven members were also identified and appointed as Criteria Champions and members of the Continuous Performance Improvement Project Committee. Their functions included that each should be responsible for performance improvement in one of the criteria and to motivate members to become involved in improvement initiatives. These Criteria Champions received the Workshop's data on the

unit's performance strengths and areas for improvement and relevant documentation on the criterion they were responsible for. They were then requested to determine a plan of action on how performance within their area of responsibility could be improved. Criteria Action Plans were then incorporated into a Unit Action Plan and Continuous Performance Improvement Strategy that was launched in May 2005. The strategy and action plan included recommendations for project implementation as well as short and medium term objectives. Progress in the implementation of this action plan was also placed as a fixed point for discussion on the agenda of the monthly ETD Executive Meeting.

5.8.4.1 Recommendations for Project Implementation.

The following recommendations were part of the Action Plan for implementing of the performance improvement plan:

- Performance Improvement must not be seen as just a Commander's or Senior Officers' function only and as many as possible of the unit members must be presented with an opportunity to do the South African Excellence Foundation courses or other Performance Improvement and Quality Control courses.
- Each member in the unit must understand the South African Excellence Model, criteria and need for continuous performance improvement.
- Everybody in the unit must be motivated and buy into the process of continuous performance Improvement.
- Everyone must know who the unit's stakeholders and clients are and what they expect of COLET.
- Obtainable targets must be set for each member to achieve.
- Benchmarking must regularly take place with other units.
- All members must be Involved and recognition policies formulated.
- Supervisors must promote creative and innovative thinking.
- An office, seminar room or conference room must be prepared as a Continuous Performance Improvement Operations Room with a work board displaying areas addressed as part of each criterion, members responsible for different criteria and other supporting members, relevant stakeholders, self-assessment results, survey scores, strengths and priorities for

improvement, set targets as well as target dates for actions. Certificates of Awards, Photographs and letters of praise can also be displayed in this office.

- Feedback from the bottom up will provide the Committee with useful information that could improve the processes in the unit.

- It is of utmost importance that all the correct processes must be formulated and in place. These processes must also be regularly reviewed. Processes must be measurable and provide an audit trail. Improved processes will provide the evidence of change and improvement.

- Surveys, assessments and minutes of meetings must serve as evidence of claims in performance reports.

- Regular discussions and presentations must inform members of all relevant facts and actions regarding performance improvement in the unit.

- Smaller SAEM Action Groups with group leaders could each address criteria or priorities for improvement in the unit.

- Small initial changes that provide members with proof of performance improvement will motivate them to accept larger challenges.

- Ownership by all the members of a Performance Improvement Programme will provide unity as all members will be committed to achieving a common goal. Interdepartmental competition or rivalry must be avoided.

- Criteria must be standing points on the agenda at the weekly Executive meetings or Extended Executive meetings.

- Continuous discussions with and motivation of all unit members at monthly Communication periods, ETD days and other organised meetings must be a priority.

- All data collected must be kept as records and evidence. The data must be measurable and statistics must be kept.

- Continuous communication and liaison with all stakeholders and clients must be encouraged. This must include regular surveys and minutes of meetings.

5.8.4.2 Continuous Performance Improvement Objectives

As part of the implementation strategy for a Continuous Performance Improvement Implementation Programme the following short and medium term objectives were identified:

- Leadership. Actions to improve this criterion will be based on collecting evidence to substantiate the following areas:
    o Do all leaders believe in an approach of continuous improvement?
    o Do leaders act as role models within their military and functional fields?
    o Do leaders recognise the inputs and efforts of individuals?
  If responses prove that corrective actions are needed, methods to do so will be implemented.

- Policy and Strategy. The criterion-area that was selected as objective for improvement in the short-term was: *The communication of policies to unit members.* Methods for enhancing the effectiveness of communicating policies and strategies will be implemented.

- Customer Focus. In co-operation with the researchers, the unit will develop a tool to determine the following data:
    o To collect customer information and perceptions.
    o Enhance customer accessibility
    o Manage complaints.
    o Determine customer satisfaction.
  An analysis of this data will provide evidence of the status of the unit's focus on customers as well as that of customer satisfaction.

- People Management. Addressing the aspect of *Planning and Improving People Resources* was identified as the objective of improving People Management. Twenty-three staffing issues were identified and will be addressed on weekly meetings with Joint Training Formation. Records of the outcomes of these discussions and the solving of staffing problems

will serve as evidence of improved People Management.

- Resources and Information Management. A credible accounting system will be implemented within the unit. A Logistical Rectification Plan will also be implemented to address stock verification, accounting, distribution accounts, disposals and procurement within the unit.

The Data Centre will finalise the process of implementing the required Provider Learner Record Database (PLRD). In addition the implementation of an archiving system is envisaged in order to improve the Learner Portfolio administration.

Logistical accounting records will serve as evidence of improved Resources Management while learner records as well as the database will serve as evidence of improved Resources and Information Management within the unit.

- Processes. All aspects of processes would be addressed at the ETD Executive Committee. Currently the Following Standard Working Procedures (SOPs) are being updated:
    - o Learner Process Management.
    - o Outsourcing.
    - o The Management of Transport and Allowances.
    - o Research.

Records of new or reviewed SOPs will serve as evidence for improved processes within the unit.

- Impact on Society. After considering a few options from disadvantaged institutions, the management of COLET identified Bekekayo Intermediate School, located near Bapsfontein with a learner number of 120, as the target for a Community Outreach Programme. Visits from unit members have already proved to have a positive influence on the morale of the teachers. Assistance to the school will be given in the form of providing ETD expertise.

Records of the outcomes of this outreach programme will serve as

evidence of improved Impact on Society.

- Customer Satisfaction. During the initial stage of the implementation of this Continuous Performance Improvement Programme, this criterion will be addressed by using the same survey that will be developed and conducted for collecting data as was discussed at the criterion *Customer Focus.* A second survey for determining customer satisfaction will be developed for use in the future.
An analysis of this data will provide evidence of the status of the unit's Focus on Customers as well as that of Customer Satisfaction.

- People Satisfaction. Actions that will be taken to improve People Satisfaction in the short term are the implementation of recreation activities on three afternoons of the week, the use of complementary orders and the work done by the unit's appointed social worker and chaplain.
Regular surveys will provide the evidence of the members' perception of actions that are implemented to address their needs.

- Supplier and Partner Performance. Two areas have been identified as areas that could be addressed.
    o The improvement and development of Training the Trainer programmes.
    o Services from the General Support Base.
Records of these actions will verify continuous improvement of Supplier and Partner Performance.

- Organisational Results. Records of the outcomes of the actions mentioned above will be analysed and interpreted in order to determine the impact it had on the Organisational Results of COLET.

Members were all invited to become involved in the project, liaise with one or more of the Criteria Champions, provide them with assistance or supply them with suggestions or recommendations for performance improvement. They were also informed that all improvement initiatives by all members of

the unit will contribute to a Continuous Performance Improvement Strategy, and all members are therefore motivated to implement small improvement initiatives in their daily routines.

5.8.4.3   <u>Continuous Performance Improvement Achievements</u>

Although the CPIP Committee had addressed all the excellence criteria and some improvement initiatives were planned to be addressed in the medium and long term, the following achievements have already been achieved since the implementation of the Continuous Performance Improvement Project:

- <u>Resources Management</u>. An accredited Accounting and Inventory system was created and implemented in the unit and COLET is awaiting an Inspector General inspection to approve the accounting system. Problems that were experienced with procurement were also solved since the appointment of an acting logistical officer.

- <u>Information Management</u>. A Provider Learner Record Database (PLRD) was implemented and 883 learners' data have been uploaded on the system and 536 certificates were issued to competent learners. Fifty seven (57) assessors and ten (10) moderators were registered with the ETDP SETA. An archive has also been established.

- <u>People Management</u>. A significant effort has been made in planning and improving people resources in the unit. Twenty-three (23) staffing issues existed as from May 2005 and six (6) have already been resolved while the appropriate actions have been taken in six (6) other cases. Feedback or actions by higher authority are awaited in these cases. Regular meetings with representatives of the Joint Training Formation are scheduled to address all remaining staffing issues.

- <u>Processes</u>. Four (4) new Standard Operating Procedures (SOPs) were developed while two are in the process of development and will be completed early in 2006. The need for two (2) new SOPs were identified and will be addressed in the new year. All existing SOPs

were also reviewed in November 2005. During a site visit by members
of the ETDP SETA to verify the unit's reregistration as ETD Provider
the unit was commended for exceptional quality.

- Social Responsibility. Visits from unit members to the Bekekayo
  Intermediate School and subsequent visits from teachers to the unit,
  have already proven to have a positive influence on the morale of the
  teachers at this school. Continuous assistance to the school will be
  given in the form of providing ETD expertise.

- People Satisfaction. Opportunities were created for members to
  participate in fitness and recreational activities on identified afternoons
  to address this criterion. A recognition system for excellent and
  exceptional work has also been implemented and the first three
  certificates for exceptional contributions were handed out during a unit
  parade. A People Satisfaction Survey is being developed by the
  researchers in the unit.

- Customer Focus. Regular staff visits especially to delegated units
  were planned and the Acting Commandant and other Team Managers
  use this forum to engage with the clients at root level to gauge service
  delivery. A Customer Needs Survey and Customer Satisfaction Survey
  are being developed for implementation.

- Partner Performance. Members of COLET were regularly involved in
  assisting other DOD partners when requested. Two examples are the
  assistance given to the Navy Inspector General in conducting
  inspections at an ETD unit of the Navy and providing the facilities and
  staff members to conduct a Diagnostic and Learning Opportunity for
  members that will be attending the Executive National Security
  Programmes in 2006 and 2007.

The CPIP Committee members admitted that they were still facing many
problems but that they have experienced significant performance improvements

within the unit and believed that activities that were planned for the future would also contribute towards further organisational improvement.

5.8.5   Capturing Qualitative Data

The researcher continued to utilise a qualitative approach to this case study. During this implementation stage the researcher captured the qualitative ideas, suggestions, behaviours and relevant interaction of the members in the unit. Listening to members during informal discussions or formal discussions during meetings and observing the reactions and behaviour of unit members provided the basis for capturing the qualitative data. The following is a summary of the main qualitative issues that were captured by observing and listening to the members in the unit:

- During discussions unit members admitted that they believed that the unit would benefit from a formal performance improvement programme and are enthusiastic that the programme will enhance performance. It was, however, viewed as important that all members should be encouraged to be involved.
- The project increased their quality awareness and some members admitted that they realised that quality assurance was not only the task of the managers and team leaders.
- Unit members believed that organisational self-assessment was necessary before a performance improvement programme could be launched and all members must be involved in the self-assessment process. When addressing the customised questionnaire itself, members believed that a shorter and simplified questionnaire could be used to involve and empower members who are not regularly engaged in formal quality assurance in the unit.
- Some members indicated that they were looking forward to the next organisational self-assessment in order to determine achievements and track the unit's progress.
- Members also indicated that the preparation for and conducting of the self-assessment provided them with opportunities for learning more about quality assurance and the use of the South African Excellence Model. It made them realise that they should reflect on their performances in order to identify more opportunities for improvement.

- Some members mentioned that they would like to compare the unit's performance with that of other training units in the SANDF and that benchmarking is therefore important.

- The results of the organisational self-assessment could assist managers to manage their centres.

- Members however stated that they do not believe that their supervisors involved them enough and although not mentioning why, some admitted that they did not implement any personal improvement initiatives since the conducting of the first self-assessment.

- Some members mentioned that the self-assessment increased discussions on quality matters while others could not recall any improvement in this aspect. Few ever mentioned formal sharing of expertise.

- It was also believed that COLET was in the unique position that most of the members were ETD practitioners and professionals that could understand the criteria requirements. The Military University Educators or researchers within the unit could also provide valuable research findings and most of the members were required to continuously improve their module designs and personal qualifications. These factors should contribute to change and continuous performance improvement in the unit.

- During informal discussions certain members, however, also articulated a negative attitude to the implementation of the performance improvement project. It was mentioned that the project would create an additional workload while some were even concerned that the self-assessment was conducted to identify their individual inadequacies. A number of members mentioned that they were doubtful that the project would show any quick results.

- Some members involved with quality management in the unit suggested that developing an additional method or instrument that would assist them in gathering the appropriate evidence prior to conducting an organisational self-assessment, would also enhance the quality of the self-assessment. During the self-assessment workshop and implementation of the CPIP, individual perceptions of how to assess the quality of evidence supplied, remained a concern.

5.8.6   Conclusions

In a final survey conducted in COLET in October 2005 as conclusion of the case study (see Appendix F) unit members indicated that they believed the unit will benefit from a CPIP and that all members must be involved in the programme. They also suggested that COLET must benchmark with other ETD providers to maintain a competitive edge. Many however still perceived a CPIP, as an 'add-on' activity that would increase their workload and some were even suspicious that organisational self-assessments were conducted to identify their personal limitations. Although many performance achievements were listed in section 5.7.4.3, some members still stated that they anticipated that the CPIP would take a long period to show significant results.

In addition to the assessment of levels of performance in the unit, the following supplementary benefits of organisational self-assessment could also be deducted from the responses in this survey:

- Members identified the benefits of pursuing a continuous improvement strategy.
- The importance of benchmarking was identified.
- Respondents realised the importance of involving everyone in the self-assessment.
- Members were more enthusiastic and believed that self-assessment will encourage involvement.
- Periodic self-assessments will provide data to track progress over time.
- The organisational self-assessment provided opportunities for education and development as members developed a better understanding of the South African Excellence Model and its criteria.
- The self-assessments increased quality awareness in the unit. By individually reflecting on activities, personal opportunities for improvement could be identified.
- The self-assessment provided members with a sense of direction in how quality should be managed.

The researcher concluded his observations and study of the case in November 2005 as the implementation of a CPIP was well established and the structures were in place for managing and sustaining this programme in the future.

During the implementation of the performance improvement strategy in practice, members involved in planning for future improvement initiatives confirmed that the results from the organisational self-assessments provided valuable guidelines for planning. They however stated that in order to address an ETD unique quality management system, assessment of performance levels in an ETD environment must also include:

- evidence of ETD best practices by means of thorough training evaluation as well as
- evidence of adherence to ETD legislation and SAQA accreditation requirements.

The need was also articulated by members involved with quality management and quality enablement in the unit, for the development of a tool or instrument that would assist members in training units to collect and verify this ETD unique evidence of performance. The possible use of such an instrument as part of a comprehensive organisational self-assessment and sustained performance management is discussed in section 5.9 of this chapter.

5.9   COMPILING AN ETD QUALITY REVIEW PACKAGE FOR USE IN TRAINING UNITS WITHIN THE SANDF

5.9.1   Introduction

When investigating how optimal results could be provided during an organisational self-assessment in a training unit in the SANDF, research illustrated the importance of the quality of evidence gathered prior to conducting the self-assessment. For this reason a need was stated in section 5.8.7 for the development of an instrument that would assist training units in the DOD in collecting and evaluating the quality of the evidence of their ETD unique performances. The aim of such an evidence collection package should, however, not be to replace a customised self-assessment questionnaire or workshop but to assist unit members in providing relevant evidence to support decision-making and

enhance the quality of the organisational self-assessment results. In response to this need researchers at COLET conducted research on the evaluation of ETD that resulted in the compilation of an ETD Quality Review Package (Moorhouse 2005).

5.9.2 The Aim of the Quality Review Package

The package has a dual purpose. Firstly, it determines whether evidence exists of the provider's readiness for SAQA accreditation as ETD provider. This aim complies with the notion posed by the Safety and Security Sector Education and Training Authority (SASSETA), that providers should conduct self-assessments to reflect on their own practices in order to ascertain how they can improve the provision of ETD (POSLEC 2004:32). Secondly, the quality of the ETD provided is determined. The evidence of quality of the ETD is evaluated against four objectives, namely the adherence to:

- ETD best practices, i.e. adherence to didactical principles.
- Outcomes Based Education principles.
- Adult learning principles.
- Department of Defence legislation and National legislation, such as SAQA and Occupational Health and Safety Acts.

The aim of the future utilisation of the ETD Quality Review Package within the DOD context will be to enable the ETD provider to systematically collect evidence to establish and maintain a self-evaluation process that would ensure:

- provider readiness for SAQA accreditation and the maintenance thereof.
- the achievement of quality in the provision of ETD in the short and medium term.
- continuous improvement of the quality of ETD in the long term.

In addition, when utilising the Quality Review Package in support of any selected method of organisational self-assessment, this package could provide valuable evidence of the level of performance in all the criteria of the South African Excellence Model.

5.9.3   Quality Review Package Components

The ETD Quality Review Package was systematically compiled according to a model for ETD evaluations that was developed from existing evaluation theories and models (Moorhouse 2006). The development of this package was based on a systems approach and therefore the package consists of several worksheets that cover the whole spectrum of ETD related system elements, i.e. inputs, processes, outputs, controls and mechanisms. This assessment instrument or Quality Review Package includes quality criteria and standards constructed with the specific aim to provide more objective assessment of evidence provided for the purpose of the evaluation (see diagram 5.3).

The Quality Review Package consists of the following components:

- Quality Management Systems Evaluation

  o Verification for SAQA accreditation
  o Strategic leadership and governance
  o Resources
  o Quality Management System
  o Learner information and support
  o Design, develop and deliver learning programmes
  o Assessment and moderation
  o Recognition of Prior Learning
  o Occupational Health and Safety

- ETD Best Practices Evaluation

  o Outcome Based Education
  o Principles of Adult Learning
  o Training Principles
  o Curriculum
  o Learning Material
  o E-learning projects
  o Presenting learning events
  o Learner and programme administration

- o Formative and summative assessments
- o Moderation
- o Learning programme evaluation
- o Resources
- o Provider administration

An example of one page of the Quality Review Package, reviewing a learning event plan, is represented as diagram 5.3.

Diagram 5.3   An Example of a Quality Review Package Worksheet

2: Learning Event Plan								
Objectives		**Grading: Ns** is Not Standard (Not addressed)						
		NYS is Not Yet Standard (Addressed but needs improvement						
		S is Standard (Meets required standards)						
		RBP is Represents Best Practices						
S/N	**ETD Best Practices Criteria**	**N/A**	**NS**	**NYS**	**S**	**RBP**	**Evidence**	**Remarks**
1	**Planning and preparation**							
1.1	Does the plan include preparation regarding environment and resources?							
1.2	Does the plan make provision for contingencies?							
2	**Target group analysis**							
2.1	Are learner needs identified?							
2.2	Is provision made for a target group analysis?							
3	**Title**							
3.1	Is the title displayed?							
4	**Outcome(s)**							
4.1	Are outcomes aligned with Unit Standard specific outcomes?							
5	**Methods**							
5.1	Are the methods appropriate?							

5.9.4   The implementation of the Quality Review Package

The ETD Quality Review Package was first officially used and piloted during an Inspector General inspection at the navy base SAS Simonsberg in September 2005. Although not yet finalised and therefore not used during the self-assessment workshop in February 2005, this Quality Review Package was used during the implementation and management of the CPIP in COLET. As a result of the application value of the package, it is in the process of being considered and prepared for implementation and for utilisation at ETD providers throughout the Department of Defence.

5.9.5   Conclusion

A Quality Review Package, based on a systems approach, which was developed by researchers at COLET, was implemented as part of the unit's performance improvement project. Although the effects and value of this package have not yet been quantitatively evaluated, the positive feedback and quality of feedback reports by members who utilised this instrument motivated members of the CPIP Committee at COLET to use this instrument for gathering data and evidence as part of organisational self-assessment initiatives. The main benefit of utilising this package was that it provided evidence of unique ETD aspects like accreditation and ETD best practices. Based on this improved and more detailed assessment of evidence, committee members could provide enhanced plans for performance improvement in the unit. The aim of such a Quality Review Package is therefore not to replace a customised self-assessment questionnaire or workshop during a organisational self-assessment, but to assist in providing relevant evidence that would support decision making and enhance the quality of the results of the self-assessment.

5.10   SUMMATIVE REMARKS

In order to deal with the research problem of the appropriateness and significance of using organisational self-assessment as component of a Continuous Performance Improvement Strategy and Quality Assurance of Education, Training and Development within the South African Department of Defence, a selected training unit, the SANDF COLET was observed as a case study over the period February 2004 to November 2005.

The case study as empirical phase of this study in particular addressed the following research sub-problems:

5.10.1   Sub-problem 3

Does the currently available South African Excellence Foundation organisational self-assessment questionnaire, originally developed for and used by manufacturing companies, provide the evidence to accurately evaluate the levels of performance at training units of the SANDF?

To address the third research sub-problem that was identified in section 1.3.2.2, Stage One of this case study investigated the effects of using a generic questionnaire, originally developed for use by manufacturing companies, for an organisational self-assessment in a training unit within the SANDF.

Conducting an organisational self-assessment in the SANDF COLET using the SAEF Level 3 Self-assessment Questionnaire for Public Performance Excellence, contributed to reaching some of the aims of organisational self-assessment. It served as a starting point for a structured approach to continuous performance improvement and assisted in identifying specific strengths and areas for improvement within the unit. This information not only provided management with information that would assist in developing plans that would direct a performance improvement process but also supplied a baseline of data that could be used for purposes of comparison during following improvement cycles (see figure 2.6).

Although a statistical analysis confirmed a high level of consistency reliability of the SAEF's Self-assessment Questionnaire additional qualitative data indicated that the outcomes of this self-assessment could not be accepted without reservation, as reflecting the true status of performance excellence within the unit.

When capturing the qualitative ideas and suggestions of the actors in the case study during a formal feedback session, informal discussions with members and using written responses on the questionnaires, the researcher deduced that many respondents had experienced difficulty in understanding the terminology or

interpreting the questions on the SAEF Self-assessment Questionnaire (see section 5.4.7.3). This could have resulted due to the academic or business-like language used in the questionnaire and the use of concepts that are more commonly used in the production or marketing industries. All the questions on profits, production figures, supplier performance and other concepts more relevant to the production industries, had to be re-interpreted by the respondents into ETD related substitutes. The wide ranges of responses and interpretations from *Not Standard* to *Fully Implemented* when rating the same activities demonstrated a lack of interrated reliability of the questionnaire used for this self-assessment.

Although the SAEF questionnaire did supply data of the unit's strengths and areas to address and provided a baseline of data for future planning and also offered unit members the opportunity to learn and become accustomed to using the South African Excellence Model, the qualitative data captured indicated that the validity or trustworthiness of the data received could not be accepted without reservation.

5.10.2   Sub-problem 4

> *How could one optimally ensure the reliability of results of an organisational self-assessment by ETD providers as part of a Continuous Performance Improvement Strategy of the SANDF?*

Even though a statistical analysis confirmed a high level of consistency reliability of the SAEF's Self-assessment Questionnaire and the questionnaire did supply data that could serve as a baseline of data for improvement planning, the fact that many respondents had experienced difficulty in understanding the terminology or interpreting the questions on the SAEF questionnaire prompted the researcher to investigate whether other approaches to organisational self-assessment could possibility optimise the results of the self-assessment initiatives. The following approaches were utilised:

5.10.2.1   Sub-problem 4.1

> *Can a self-assessment questionnaire that is customised to address the needs and culture of ETD units in the SANDF, enhance the quality of the responses?*

To investigate this sub-problem an adapted or customised self-assessment questionnaire was constructed based on the suggestions and data received from members involved in quality management within sampled training units of the SANDF. This customised questionnaire addressed the terminology, culture and needs of training units in the SANDF and aimed to make the questionnaire more understandable to these members. This was done by adapting the business-like language used in the questionnaire, giving clearer descriptions to limit personal interpretations and phrasing the questions in such a manner that it included the language, customs and culture more familiar to members within a military environment. Other issues that were also addressed during the process of customising this self-assessment questionnaire were the search for ETD unique components, the relationship between criterion weightings and the number of questions, time needed to complete the questionnaire and a grading system that would be less confusing.

A statistical analysis confirmed the internal consistency reliability while reduced standard deviations in the scores also illustrated the advantages of using this customised self-assessment questionnaire in a training unit in the SANDF. Factors like events within the unit, an improved knowledge of the South African Excellence Model by the respondents and the test effect of repeating a very similar assessment, could, however, all have contributed to the enhanced statistical results.

The results of this self-assessment using the customised self-assessment questionnaire within the case study again provided unit management with guidelines of the unit members' perceptions of some strengths and areas for improvement in the unit. The results however differed considerably from those received when using the SAEF self-assessment questionnaire (see table 5.9). Qualitative data that were collected also indicated that other factors over and above the quality of the self-assessment

questionnaire could influence the responses provided by members of the unit. Even though including all unit members in a self-assessment process promoted enthusiasm and involvement, all members did not have the necessary knowledge or experience to assess management processes or activities not directly related to their departments. In order to address this problem the researcher investigated the possibility of using one of the other recommended approaches to organisational self assessment that would rely less on the perceptions of individuals, demanded results to be based on evidence and would include the members involved in management and quality assurance in the unit.

5.10.2.2   Sub-problem 4.2

What will the significance of using a workshop as method of organisational self-assessment be?

Even though including all unit members in an organisational self-assessment process promoted learning, enthusiasm and involvement, all members did not have the necessary knowledge or experience to assess management processes or activities not directly related to their departments. It therefore became evident that more reliable data would be gathered, if after completing a self-assessment questionnaire, a workshop were conducted by a carefully selected group of unit members who were involved in management or quality assurance functions. A self-assessment workshop using a three-phase decision support method to assist or facilitate group decision making, was therefore conducted as Stage Three of the case study.

As members who were responsible for quality management within the unit participated in this self-assessment workshop, and the process simulated one of the SAEF's suggested self-assessment methods (see section 2.3.1.6), the scores obtained provided the top management of COLET with additional data that could assist them in implementing their CPIP. The workshop identified as consensus decisions, the unit's strong points as well as areas that needed improvement.

When comparing the responses of the workshop with those of Stage One and Two of the case study, it could be noted that the eleven criteria were ranked at various levels of performance during the three stages of the case study (see table 5.9). These differences in responses therefore confirmed the researcher's assumption that different methods of conducting organisational self-assessment could provide different results and that the reliability and validity of organisational self-assessment approaches and methods should be investigated.

Where using a self-assessment questionnaire is based on the point of view that individual decision makers assess organisational levels of performance and their responses provide data for a quantitative analysis, a workshop approach to self-assessment employs a method where a number of members with distinct viewpoints discuss self-assessment questions and final decisions or responses are recorded only after these members have reached a consensus response to each question posed.

When discussing the advantages of a workshop for organisational self-assessment, group decision-making is often approached from a perspective that assumes the existence of highly similar views, goals and values amongst the group members and that a workshop method of self-assessment would help to build a common view on the current state of the organisation. Individual scores when assessing the workshop questionnaire (quantitative) and observed disagreement during discussions (qualitative) however indicated the existence of the different views of workshop participants.

Although the results of this analysis therefore confirmed that one could not assume that members working in the same unit will generally develop common views and perceptions, the different views that existed among members of the group were observed to be diverse inputs that stimulated debate and enabled the group to achieve higher-quality solutions. The consensus scores obtained during the self-assessment workshop thus provided improved data that assisted in planning for continuous performance improvement.

Although effective participation during the workshop was, therefore, not without its challenges and managers and facilitators should continually assess their methods and approaches to participation and group decision-making within organisational self-assessment approaches, the value of both group learning and the social influence of group discussion was evident in the results of the workshop.

Qualitative data that were gathered by the researcher during the workshop also indicated that other factors over and above the quality of the self-assessment method could have affected the responses provided by the workshop members. In addition to personal views of group members, other factors like domination and power of a group member; pressures to conform and groupthink could have affected choice aggregation outcomes. Events within the unit, the knowledge, skills and attitudes of the respondents and the test effect of repeating a very similar assessment, could also have influenced the responses. The three-phase approach as an alternative to only consensus decisions that was used during this workshop could, however, also be used as an additional method to enhance the quality of the decisions taken as it addresses the benefits of group discussions and individual choice while also mitigating the possible threats or risks of an authoritative figure dominating procedures of members feeling obliged to conform to the majority (see section 2.3.2).

The assessments of performance levels during a self-assessment workshop are based on evidence collected and also the selected members' knowledge of processes and activities within the unit. Sharing information, group discussions and seeking consensus on the levels of performance also enhanced the quality of the responses. While the responses on a self-assessment questionnaire are primarily based on the respondents' own perceptions of performance levels, the workshop added the dimensions of assessing evidence collected and experienced members sharing expertise and knowledge during facilitated group discussions.

Utilising a self-assessment workshop that is conducted by selected senior personnel in the unit must, however, not exclude the other members from the self-assessment process. The researcher suggested that a simplified questionnaire could be used to encourage involvement and commitment by these unit members. This uncomplicated questionnaire could concentrate only on the basic sub-criteria of the South African Excellence Model that would provide useful inputs on the perceptions of members not directly responsible for management or quality assurance in the unit. The responses on these questionnaires should be taken into consideration throughout the group discussions during the self-assessment workshop.

5.10.3   Sub-problem 5

To what extent should organisational self-assessment support a strategy of continuous performance improvement?

This problem was addressed when the implementation of a Continuous Performance Improvement Programme was discussed as Stage Four of the case study. The following two questions are related to sub-problem 5:

5.10.3.1   Sub-problem 5.1

To what extent could organisational self-assessment accurately identify required end states and address the ways and means to continuously improve performance?

Self-assessment must culminate in planned improvement actions and therefore the most critical phase of the self-assessment process is action planning and implementation after the self-assessment has been conducted. The aim of conducting organisational self-assessment in the case study was to identify the unit's status of the quality endeavours and the opportunities for improvement. The self-assessment therefore provided management with *what* should be addressed to improve performance but did not state *how* the improvements should be obtained. Unit plans for improvement that were based on the results of the organisational self-

assessment, now addressed the action plans and methods (the strategic *Ways*) and the resources (the strategic *Means*) to achieve the planned improvements (the strategic *Ends*).

The search for an approach that would provide optimal self-assessment results was therefore essential as these results supplied the foundation for all future improvement plans and actions. The results from the organisational self-assessments served as a starting point for a structured approach to continuous performance improvement.

Discussions during the self-assessment workshop indicated different perceptions of the values of the evidence available. Unit members therefore expressed the need for the implementation of an instrument or tool that could assist them in collecting ETD unique evidence and substantiating the level of performance the evidence represented. These ETD unique requirements included evidence of ETD best practices and systematic training evaluation as well as evidence of adherence to ETD legislation and SAQA accreditation requirements. For this reason a Quality Review Package, which was developed by researchers at COLET, was used as an additional method for gathering data and evidence of performance. Plans for performance improvement could therefore also include issues identified by enhanced and more comprehensive assessment of evidence.

Svensson (2004:31) describes self-assessment in four phases: Planning, Describing, Analysis and Improvement work. Even though this study focused on self-assessment activities and methods, it is clear that one should have a holistic view of the whole process and not isolate the self-assessment actions from the improvement work phase of the process. Thorough planning and analysis of both self-assessment data and other needs identified will ultimately provide the ends that action plans for continuous improvement should aim to achieve.

An analysis of self-assessment data will finally provide the objectives or ends that action plans for continuous improvement should aim to achieve.

The improvement plans as ultimate outcome of organisational self-assessment could then formulate how improvement will be reached (the why) and what resources will be required (the means).

5.10.3.2   Sub-problem 5.2

Can organisational self-assessment assist in tracking improvement or progress over time?

The results from the organisational self-assessment workshop provided the baseline data and served as a starting point for a structured approach to continuous performance improvement in the unit. The results therefore identified and represented the status of the quality endeavours and the opportunities for improvement at the time of the assessment.

Svensson (2004:32-33) states that it may be argued that the focus too often is placed on the planning and conducting of self-assessment while the improvement actions are neglected. He strongly believes that all four phases in his Four-phase model are equally important as the four phases in the self-assessment process can be considered as one lap around the improvement cycle (see figure 2.5). He demonstrates that the outcome of the action-planning phase might be supplemented by other improvement considerations and that the outcome of the assessment together with possible other improvement considerations, could and must result in a second and consecutive improvement cycles. Nilsson and Samuelsson's (2000:68) five interlocking components of the self-assessment also demonstrate the importance of continuous self-assessment and improvement.

Although any performance improvement strategy requires continuous reflection and new improvement initiatives, it became clear during the case study that periodic official organisational self-assessments would have to be conducted as basis for initiating subsequent improvement cycles. Each of these subsequent organisational self-assessments will then identify and represent the status of the quality endeavours or levels of performance at

the time of the assessment and thereby assist in tracking improvement or progress over time.

Organisational self-assessment will therefore support a strategy of continuous performance improvement by identifying the strategic ends and provide for plans that will formulate strategic ways and means of reaching these goals and if regularly conducted also supply data for comparison to describe improved performances achieved.

5.10.4   Sub-problem 6:

Can organisational self-assessment provide additional benefits to   ETD providers in the South African Department of Defence?

Literature that venture to discuss the benefits of self-assessment, list benefits of both the self-assessment as well as those related to the improvement initiatives. In order to determine whether organisational self-assessment per se could provide an organisation with additional benefits, a formal survey was conducted in COLET in October 2005 (see section 5.8.6). The following benefits were investigated:

5.10.4.1   <u>Sub-problem 6.1</u>

To what extent can organisational self-assessment help to empower the workforce?

Responses in the survey conducted indicated that unit members were encouraged to become personally involved in improvement activities. Everyone available in the unit participated in completing a questionnaire, making suggestions for improvement or reflecting on their performances. Eleven members were involved as criteria champions, others provided suggestions for improvement, collected evidence or participated in the conception and management of the improvement programme. The results of the organisational self-assessment did not only involve members of all the functional areas but also motivated management to provide for the necessary resources like time, personnel and finances for the implementation of the CPIP.

The survey demonstrated that not only did managers involve their members in improvement activities but they also voluntarily participated in these activities. The organisational self-assessment provided members with a sense of direction and made them realise that new improved targets can be met.

5.10.4.2   Sub-problem 6.2

Could organisational self-assessment increase commitment and passion for continuous performance improvement?

Members in the unit portrayed a positive attitude by responding in the final survey that they were encouraged to become involved in improvement activities and responding that everybody should be involved in the CPIP. They did not believe that the unit was 'biting off more than it could chew' and judged that the unit will benefit from the self-assessment.

Although some members indicated an improvement in staff morale and motivation amongst unit members, the majority was still undecided on these issues when the survey was conducted. Time and further successes may be needed to confirm these benefits.

5.10.4.3   Sub-problem 6.3

To what extent can organisational self-assessment promote organisational learning by enhancing the members' understanding of the key basic concepts and criteria of the South African Excellence Model?

The self-assessment and implementation of a performance improvement programme also increased quality awareness in all aspects of the unit.

The final survey conducted during the case study confirmed that the self-assessment provided opportunities for education and learning. It created a

focus on the criteria of the South African Excellence Model as selected model or framework for assessing performance levels in the unit.

5.10.5   The Main Research Problem

The main research problem was stated in section 1.3.2.1 as:

What is the appropriateness and significance of using organisational self-assessment as component of a Continuous Performance Improvement Strategy and Quality Assurance of ETD within the South African Department of Defence?

Conducting the case study and achieving the following goals confirmed the significance of organisational self-assessment as part of a continuous performance improvement strategy for an ETD provider in the SANDF:

- To determine a starting point for a structured approach to continuous improvement.
- To identify specific strengths and areas for improvement within the unit.
- To identify required end states accurately and address the ways and means to sustain and continuously improve performance.
- To increase quality awareness in all aspects of the unit.
- To encourage employees to become personally involved in improvement activities.
- To empower the unit members to initiate performance improvement.
- To promote organisational learning by enhancing the members' understanding of the key basic concepts and criteria of the SA Excellence Model.

In order to implement and sustain a continuous performance improvement strategy, training units in the SANDF will have to conduct planned, regular and comprehensive organisational self-assessments that involve all members in the unit and clearly identify strengths and areas in which improvements can be made and culminate in planned improvement actions.

Chapter 6 of this study will address a summary of the study, conclusions and relevant recommendations.

CHAPTER 6

SYNTHESIS OF THE STUDY

6.1   INTRODUCTION

An integrated approach to national workplace education and training in South Africa, is supported by both legislative as well as policy frameworks that promote the transformation of learning and ETD therefore forms part of the broader national strategy for nation-building. Human Resource Development, including ETD providers, must therefore implement Quality Management Systems that would provide short and medium term interventions in order to ensure that the long-term national goals are achieved.

Quality Management Systems, ETD Quality Assurance and Organisational Self-assessment are well-researched topics and findings demonstrate that an important element of a quality system model is the regular self-assessment of the organisational system as a whole or a key element like ETD within the system. All those involved in managing ETD institutions should therefore understand their responsibility for implementing their own quality assurance systems and for maintaining the standards of their own academic processes. Therefore, education and training institutions all over the world are exploring and implementing different new models of self-assessment that could culminate in planned improvement actions, which are monitored for progress.

Training Units within the DOD are therefore also obliged to apply internal scrutiny of their activities in order to adhere to national and departmental requirements. The focus and techniques of self-assessment have shifted from only awareness to complete implementation, and training units within the SANDF are in need of unique designed techniques that would assist them with self-assessment and provide them with a framework for quality reviews and the implementation of a continuous performance improvement strategy. This strategy must be dynamic and include intended and emergent processes and actions to stimulate incremental and innovative performance change in order to sustain a competitive advantage in an ever-evolving ETD environment.

6.2   SUMMARY

In order to provide an overview of this study the chapters could be summarised as follows:

6.2.1   Chapter 2

To investigate how appropriate it is to use a TQM approach when conducting organisational self-assessment in an ETD environment, chapter 2 briefly described the concept Quality and the terms Total Quality Management and Quality Assurance, and then continued by discussing self-assessment practices that could be implemented to improve organisational performance. Finally, the role of group decision-making in the assessment of performance was investigated.

Globally, quality and the search for excellence have emerged as important issues, and the focus on these concerns promotes and supposedly ensures continuous organisational performance improvement. Organisations are therefore searching for excellence models and institutional self-assessment approaches to remain competitive in this changing global market.

Although open to several interpretations, most definitions of quality are, however, based on meeting the customer's present and future requirements by continuous conformation to their expectations of the product or service. Continuous conformance to customer expectations also implies that no organisation can rely on its achievements in the past, but must search for continuous improvement to stay competitive in its field. Seeking constant change and improvement will require that quality assurance would include some elements of inspection and control, but it would mainly focus on the future and be more process orientated in order to eliminate causes of errors proactively. Given this, the best way to ensure quality is in the design of products, services and processes. This necessitates that the emphasis with assuring quality should fall more on continuously improving processes than on the products themselves because it is assumed that improved processes will ultimately enhance product quality.

Even though TQM is described in literature as an approach, a philosophy or a business strategy, a number of core values seem to be common in most of these descriptions.

These core values include customer satisfaction, commitment from management, involvement from employees at all levels, focus on processes, changing organisational culture, fact-based decisions and also continuous improvements. A Total Quality Management approach will incorporate all these core values and therefore provide an approach that would generate continuous quality improvement.

This chapter also demonstrated how these core values of TQM and especially continuous improvement, could be addressed by implementing and using self-assessment to improve organisational performances. Although planning and performing a first self-assessment may have the significant benefits of determining the current levels of performance in the organisation, it must be realised that the organisation will only be able to achieve its desired results if ultimately the self-assessment process converts the knowledge and data gained into effective new action plans as part of continuous cycles of performance improvement. Self-assessment is therefore not a short-term solution but must be implemented to change the way people at all levels in the organisation are thinking about quality and performance in the workplace. Improvement initiatives will always require commitment, continuous efforts and also patience.

In planning a self-assessment process, careful attention should be given to the particular approach or methods chosen to conduct the self-assessment as the thoroughness, reliability and accuracy of the outcome of the self-assessment will rely on the methods used to gather the relevant information. The culture and structure of the organisation as well as the benefits desired will influence the particular method adopted.

The selection of a self-assessment method will also be determined by the organisation's customary quality management framework. National and international performance frameworks and quality models present organisations with criteria to assess their performance excellence. In planning a self-assessment process, members should, however, be provided with both a framework to provide structure as well as a method that is flexible enough to adapt to the organisation's needs and objectives. It could thus be necessary to design or adjust some criteria and/or the scoring to suit the specific situation and goals of the organisation.

Most self-assessment methods are based on group decision-making and the reaching of consensus or aggregating a set of individual preferences into a rating that would

represent the view of the group. Effective participation when conducting organisational self-assessment is not without its problems and managers and facilitators should continually assess their methods and approaches to address improved participation.

Managers within the ETD environment and especially the adult education and training environment therefore have to determine the needs and expectations of their clients or potential clients, in their quest for improved quality of education and training. In the ETD environment in South Africa however quality assurance has emerged as a primary instrument for evaluating performance and accountability and the government and SAQA and its structures are explicit through policy about what they require from ETD providers. Institutional quality assurance will always be conducted as part of a larger national quality management system. Possible clients are not only limited to the students or learners but should include institutions, the future employers, and society at large.

6.2.2   Chapter 3

When performing self-assessment of performance excellence, training units in the SANDF are required to utilise the concepts and assessment criteria of the South African Excellence Model (SAEM). In Chapter 3 the significance and impact of quality and excellence models as frameworks for self-assessment and continuous performance improvement, were investigated. The chapter therefore included a review of three major international Quality Awards, their frameworks and accepted fundamental concepts and assessment criteria in order to establish the base, concepts and criteria that are used in the South African Excellence Model for assessing organisational excellence or performances.

The international Quality Awards that were reviewed were the Deming Prize in Japan, the Baldrige Quality Award in the USA and the European Quality Award. They represent the major quality awards in the world and most of the other international Quality Awards or frameworks were adapted from one or more of these models or feature the same fundamental concepts or assessment criteria. Although the models that underpin the quality awards may have limitations, they provide useful frameworks against which organisations, large and small, private and public, can assess their quality management methods and the end results. Although they may differ slightly, quality models worldwide are all based on fundamental concepts or beliefs and behaviours found in high-

performing organisations, include significant similarities in the criteria used for self-assessment and all encourage the use of self-assessment and continuous improvement initiatives.

Although quality awards and assessment frameworks were first introduced and most widely used in business and manufacturing, their usefulness has recently also been introduced and used in managing health services, education and other public service organisations. Award administrators also periodically update all of the awards' criteria to represent the most current understanding of organisational quality practice and improvement in both the private and public sectors. These regular reviews may in future lead to more similarities and even a single internationally accepted strategic model for performance assessment as best practices borrowed from each other are applied.

The literature study confirmed that an understanding of the origin, concepts and criteria of internationally accepted quality models will enhance the comprehension of the concept of quality, highlight underlying assumptions, and identify the benefits of using quality or excellence models as audit frameworks for self-assessment of organisational performance. The chapter consequently provided the background and rationale for utilising the SAEM as internationally accepted framework for the assessment of performance excellence.

It was demonstrated that the South African Excellence Model provides a framework for organisations to identify organisational strengths and weaknesses against a set of internationally accepted criteria. The model, however, does not provide detailed methods as to how organisations can overcome their weaknesses. Organisations need to analyse and evaluate their current status of performance excellence and include required improvement initiatives in their strategic or business plans.

6.2.3   Chapter 4

In order to provide the context in which self-assessment as component of a Continuous Performance Improvement Strategy and Quality Assurance of ETD was investigated, chapter 4 presented the reader with an overview of the military environment within which this research was conducted.

The roles of the SANDF in a democracy and the influence on, and implications for training and development within the DOD were discussed briefly. After illustrating how the findings and recommendations of the First Report on Education, Training and Development in the DOD (1997) provided the process and structure that were envisaged to address this transformation of ETD in the department, a discussion was provided of the new Service System or Human Resource Strategy within the DOD and how it will impact on ETD in the department. The implementation of a Continuous Performance Improvement Programme was then illustrated. After demonstrating the impact of new legislation such as the South African Qualifications Authority Act, on the provision of Education Training and Development in the Department of Defence this chapter concluded with a discussion of the Overarching Policy for ETD as macro framework or common frame of reference for providing ETD within the department.

The chapter indicated that the Secretary of Defence declared TQM as the official management philosophy and system of the DOD. The DOD's TQM principles are the basis for the implementation, facilitation and management of the DOD's Continuous Performance Improvement Programme. Policy further mandates the DOD's own Continuous Performance Improvement Competition based on the quality criteria of the South African Excellence Model.

The new constitution enshrines fundamental rights and emphasises openness and accountability in the affairs of government. The DOD is subject and obliged to also perform its functions in accordance with the new national legislation. The DOD is therefore greatly influenced by the new ETD legislation and all training units must make provision to obtain accreditation of training at SAQA and thereby gaining access to the NQF. These new demands required that the DOD produce a departmental policy in order to create a new macro framework for ETD in the department. This overarching policy for ETD in the Department of Defence provided a common frame of reference for all ETD providers to develop relevant new policies.

In 2000 the Council on Defence approved the implementation of a new Service System or Human Resource Strategy within the SANDF. Not only does the new service system lead to a fundamental change in the way that SANDF members will serve in the future, it will also be characterised by a wealth of new human resources training and development

opportunities. It also requires that training and development in the SANDF in future become more closely aligned with national training and development strategies.

Although external audits or inspections are procedure within the DOD, all training units within the department will also have to utilise a form of self-assessment against the South African Excellence Model as framework, to ensure the maintenance of required standards and the continuous improvement of their performance periodically. These assessments will, however, be conducted within a unique military environment and the roles of the SANDF in a democracy and the influence on, and implications of national legislation and departmental policies will impact on all intended performance improvement initiatives.

6.2.4 Chapter 5

6.2.4.1 Stage One

Stage One of this case study investigated the use of the SAEF Level 3 Self-assessment Questionnaire as a generic questionnaire for organisational self-assessment in a training unit within the SANDF. Although the consistency reliability of this questionnaire was determined, additional qualitative data obtained indicated that some members in a training unit in the SANDF experienced difficulties when interpreting this questionnaire. This prompted the researcher to investigate the feasibility and effects of customising the self-assessment questionnaire for use in training units of the DOD by addressing issues like the language used, customs and culture in a military environment and the grading system of the questionnaire. As the effects of utilising the customised self-assessment questionnaire were to be tested as a post-test within the case itself, the customisation of the questionnaire was conducted as a research activity external to the case itself.

6.2.4.2 An Intervention

As an intervention the Level 3 Self-assessment Questionnaire of the SAEF was adapted or customised for use within training units of the SANDF in order to possibly enhance the reliability and validity of the instrument.

After analysing the response and the results obtained during Stage One of this research project, interviews were conducted with ten senior members within the SANDF that were involved in using the SAEF Model for continuous performance improvement programmes within the SANDF. A draft customised self-assessment questionnaire that addressed the terminology, culture, approach and needs of the SANDF training community was thereafter constructed and distributed to training units in the SANDF to investigate the functionality or user-friendliness of this draft customised questionnaire.

Taking into account the suggestions and data received from these respondents, a final refined and customised Self-assessment questionnaire was constructed and prepared to be tested in the case study.

6.2.4.3 Stage Two

To test the reliability and validity of the adapted or customised Self-assessment questionnaire, a formal self-assessment was again conducted at COLET to determine the levels of performance excellence of the unit by making use of this refined customised questionnaire.

As all members within the unit formally conducted this self-assessment and the process simulated one of the SAEF's suggested self-assessment methods, the respondents' perception of the unit's strong points as well as areas that needed improvement, were identified. The scores obtained, therefore, provided top management of the unit with data that could assist them in implementing a Continuous Performance Improvement Programme.

For the purpose of this study the scores obtained were, however, significant in so far as they could be interpreted to determine the reliability and validity of the customised self-assessment instrument. A statistical analysis demonstrated the internal consistency reliability of the customised questionnaire that was used. Reduced standard deviations in the scores illustrated the advantages of using a customised questionnaire in a training unit in the SANDF. Qualitative data that were collected, however, indicated that other factors over and above the quality of the self-assessment questionnaire could influence the responses provided by

members of the unit. Events within the unit, the knowledge, skills and attitudes of the respondents and the test effect of repeating a very similar assessment, could all have contributed to the changed results.

Although including all unit members in a self-assessment process promoted motivation and involvement, all members did not possess the necessary knowledge to assess the management processes or activities not directly related to their departments. It was suggested that management complete the comprehensive customised questionnaire but also provide for an additional simplified questionnaire that could be completed by all the members that are not officially responsible for management or quality assurance in the unit. The simplified questionnaire could maintain involvement, and provide an opportunity for learning more about the South African Excellence Model. In order to enhance the quality of responses, other methods of conducting organisational self-assessment such as a matrix, pro forma or workshop could also be investigated.

6.2.4.4   Stage Three

During Stage Three of the case study an organisational self-assessment workshop was conducted by a carefully selected panel of unit members who were all responsible for management or quality assurance in the unit. Based on evidence collected prior to the workshop and the results of a questionnaire during the workshop, final responses or decisions on the levels of performance in the unit were recorded only after these members had shared information, discussed evidence available and reached a consensus response to questions posed. Identified strong points as well as areas that needed improvement provided the top management of COLET with additional data that could assist them in implementing their CPIP.

When comparing the responses of the workshop with those of Stage One and Stage Two of the case study, it was noted that the eleven criteria were ranked at various levels of performance during the three stages of the case study. These differences in responses therefore confirmed the researcher's assumption that different methods of conducting organisational self-assessment could provide

different results and that the reliability and validity of each self-assessment approach or method should be thoroughly tested.

Although the results of this analysis confirmed that one could not assume that members working in the same unit will generally develop common views and perceptions, the different views that existed among members of the group were observed to be diverse inputs that stimulated debate and enabled the group to achieve higher-quality solutions. The consensus scores obtained during the self-assessment workshop therefore provided improved data required when planning for continuous performance improvement. Effective participation during the workshop was therefore not without its challenges but the value of both group learning and the social influence of group discussion were evident in the final results of the workshop.

Qualitative data that were observed by the facilitator during the workshop also indicated that many factors over and above the quality of the self-assessment method could have affected the responses provided by the workshop members. In addition to personal views of group members, other factors like domination and power of a group member; pressures to conform and groupthink could have affected choice aggregation outcomes. Events within the unit, the knowledge, skills and attitudes of the respondents and the test effect of repeating a very similar assessment, could also have influenced the responses.

Where the responses during the first two stages of the case study were primarily based on the respondents' perceptions of performance levels, the workshop added the dimensions of assessing evidence collected and experienced members sharing expertise and knowledge during facilitated group discussions. The workshop as performance self-assessment design, therefore addressed the aspect of personal individual subjective perceptions by also focusing on methods or processes of collecting evidence to substantiate the level of performance within the organisation.

6.2.4.5 <u>Stage Four</u>

Stage Four of this case study discussed the implementation of a Continuous Performance Improvement Programme within the unit and the search for an effective method that would assist managers of training units in the SANDF in collecting and capturing the evidence of quality and levels of performance.

To ensure the institutionalisation of the best continuous performance practices in the Department of Defence, a DOD Instruction was authorised in 2000 that mandates the introduction of the DOD's own Continuous Performance Improvement Competition. As all units within the DOD must implement this instruction, the SANDF COLET's Executive Committee decided in early 2004 to embark on a CPIP.

The basic objective for seeking optimal reliable and valid results when conducting organisational self-assessments by means of the SAEF Self-assessment Questionnaire, utilising a customised self-assessment questionnaire and ultimately conducting a self-assessment workshop, was to determine the levels of performance in order to plan for and implementing a CPIP. The aim of Stage Four of this case study was therefore to observe and report on the implementation of a Continuous Performance Improvement Project in the selected training unit of the SANDF. This stage included an extensive, narrative report of what had happened over a given period of implementation and provided a context for interpreting findings of interventions and implementation variability. The stage also described a series of diverse continuous events, set in an organisational framework and in a well-defined environment.

In a final survey conducted as conclusion of the case study unit members indicated that added to the data obtained for planning for a Continuous Performance Improvement Project, additional benefits of the organisational self-assessment included that the self-assessment increased quality awareness, provided a sense of direction for quality management, got members enthusiastic and involved and presented an opportunity for education and development.

When the observations and study of the case was concluded in November 2005 the implementation of a CPIP was well established and the structures were in place for managing and sustaining this programme in the future. Members involved in planning for future improvement initiatives confirmed that the results from the organisational self-assessments provided valuable guidelines for planning. They however identified the need for a system or tool that would assist members in training units to collect and verify this ETD unique evidence of performance. These ETD unique aspects were identified as evidence of ETD best practices by means of thorough training evaluation as well as evidence of adherence to ETD legislation and SAQA accreditation requirements.

6.2.4.6 Quality Review

As part of COLET's performance improvement project, a Quality Review Package was implemented in the unit. Although the effects and value of this package have not yet been quantitatively evaluated, the positive feedback and quality of feedback reports by members who utilised this instrument has motivated members of the CPIP Committee at COLET to use this instrument for gathering data and evidence as part of organisational self-assessment initiatives. The main benefit of utilising this package is that it provided evidence of ETD unique aspects like accreditation and ETD best practices. The aim of such a Quality Review Package is therefore not to replace a customised self-assessment questionnaire or workshop during a organisational self-assessment, but to assist in providing relevant evidence that would support decision making and enhance the quality of the results of the self-assessment.

6.3   CONCLUSIONS

6.3.1   Findings

In order to investigate the research problem a literature study, interviews with senior quality assurors in the SANDF and a case study were conducted to gather and capture relevant data to be analysed. Sub-problems were formulated to identify the essential elements of the main research problem. In answering these sub-problems the complex research problem could be addressed.

6.3.1.1 Sub-problem 1

> *How appropriate and useful are Total Quality Management (TQM) with concepts, values, methodologies and tools that originated within the private sector, when conducting organisational self-assessment in supporting continuous performance improvement in ETD units in the SANDF?*

Chapter 2 of this study provided a literature review to address this sub-problem. It was illustrated that most definitions of quality are based on meeting the customer's present and future requirements by continuous conformation to their expectations. Continuous conformance also implies that Quality Assurance would be more process orientated in order to eliminate causes of errors proactively and seek quality improvement. The aim of a TQM approach is to provide an approach that would generate continuous quality improvement and the approach's core values include:

- Top management commitment.
- Let everybody be committed.
- Base decisions on facts.
- Focus on processes.
- Focus on customers.
- Improve continuously.

The case study (see section 5.4-5.8) investigated the implementation of a Continuous Performance Improvement Project that was the result of a decision taken by the unit's Executive Committee during a meeting in early 2004. The case study confirmed the need for management's commitment both to support the initial drive for improvement but also during the self-assessment process and the implementation of improvement initiatives. During the final survey (see section 5.8.6) conducted at the conclusion of the case study in November 2005, members demonstrated their appreciation for being empowered and responded very positively to questions on member commitment by indicating the importance

of being involved in the Self-assessment (86.6%) and the Continuous Performance Improvement Project (87.4%). The self-assessment provided quantitative data and these facts in addition to other qualitative data gathered, were used to base decisions on when drawing up effective new action plans as first cycle of continuous performance improvement. In planning a self-assessment process, careful attention was given to the particular approach or methods chosen to conduct the self-assessment (see section 2.3.1.6) as the thoroughness, reliability and accuracy of the outcome or data of the self-assessment relied on the methods used to gather the relevant information. The culture and structure of the organisation as well as the benefits desired influenced the particular method adopted. Although planning and performing a first self-assessment had the significant benefits of determining the current levels of performance in the training unit, it must be realised that the unit will only be able to achieve its desired results if continuous new cycles of self-assessment are conducted. Self-assessment is therefore not a short-term solution but must be implemented to change the way people are thinking about quality and performance in the workplace. Improvement initiatives will always require commitment, continuous efforts and also patience.

One core value or concept of TQM that needed interpretation was the concept of customer focus (see section 2.2.2.3). Determining who your customers are in the private sector or manufacturing environment is usually uncomplicated. ETD providers in the SANDF in particular but also all other providers in the private sector are faced with a challenge when defining who their customers are. Although real quality of education is measured in terms of what the students know, understand and can do at the end of their education experience, these improvements are also the criteria used by other stakeholders like employers and society at large. In education and training different stakeholders exist that could include the learner, the institution, a government authority, a professional body, the future employer, or society at large. As ETD is conducted as part of a larger national quality management system, governments or external agencies are getting increasingly explicit through policy about what they require from ETD providers, while learners and sponsoring employers as well as an ever changing environment all demand the highest levels of quality in ETD. When conducting an organisational self-assessment within an ETD environment, all possible

stakeholders and customers must be clearly defined and their expectations assessed.

In conclusion, it can be stated that the case study (see section 5.8) confirmed that a Total Quality Management approach provided an approach that generated continuous quality improvement and that the members in a training unit could implement and use these TQM concepts and values when conducting self-assessment in their quest to improve performances.

6.3.1.2   Sub-problem 2

What is the significance and impact of quality and excellence models as frameworks for self-assessment and continuous performance improvement?

The focus on excellence and quality compels organisations to conduct self-assessment and review their activities and achievements to identify strengths and areas for improvement in order to promote continuous performance improvement. Organisations are therefore in search for suitable frameworks or internationally accepted criteria, which focus on sustained improvement, to assist them in their organisational self-assessment approaches.

Chapter 3 of this study provided a review of three major international Quality Awards, their frameworks and internationally accepted fundamental concepts and assessment criteria (see section 3.3) in order to establish the base and concepts and criteria that are used in the South African Excellence Model for assessing organisational excellence or performances.

The international Quality Awards that were reviewed were the Deming Prize in Japan, the Baldrige Quality Award in the USA and the European Quality Award. They represent the major quality awards in the world and most of the other international Quality Awards or frameworks were adapted from one or more of these models or feature the same fundamental concepts or assessment criteria. While adapted models were influenced by socio-cultural backgrounds, the global economy requires that all National Quality Awards search for

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internationally accepted standards and practices. The South African Excellence Award is an example of an approach that required that quality systems developed are in line with international standards, to ensure international recognition so as to meet international competitive challenges (see section 3.4.1). By briefly describing the salient features and distinct attributes of these three major international awards and then comparing their features and attributes with those of the SAEM, the chapter consequently provided the background and rationale for utilising the SAEM as internationally accepted framework for the assessment of performance excellence.

When comparing the fundamental concepts of these four quality awards (see section 3.4.7.2) it is clear that the Baldrige and European awards share the same eight concepts of the South African award. The South African Excellence Foundation is a member of the Global Network of Excellence Award Administrators and is allied to its international counterparts such as the Baldrige National Quality Program and the European Foundation for Quality Management, with content endorsement from both the EFQM and Malcolm Baldrige awards.

The literature study also verified that the quality award programs, their models and their criteria have several objectives in common. They all aim to stimulate and promote improvement, provide a framework to support performance management, enhance competitiveness and encourage the use of self-assessment and continuous improvement initiatives.

Quantitative and qualitative data gathered during the case study confirmed the significance of utilising the SA Excellence model as framework when conducting an organisational self-assessment in a training unit of the SANDF. The framework provided assisted the unit to measure their position against a set of internationally accepted criteria and to identify organisational strengths and weaknesses by means of self-assessment against a set of common criteria. The self-assessment assisted the unit to not only determine areas for future improvements, but also provide data for benchmarking nationally and internationally. The model also provided a framework for education and development as members are introduced to a TQM approach of managing

quality in their organisations. A better understanding of the origin, concepts and criteria of an internationally accepted quality model enhanced the comprehension of the concept of quality, highlighted underlying assumptions, and assisted in identifying the benefits of using a quality or excellence model as audit framework for self-assessment of organisational performance.

Although quality awards and assessment frameworks were first introduced and most widely used in business and manufacturing the case study confirmed the usefulness of utilising the SAEM as framework for self-assessment of quality management methods and results in an ETD environment.

The study therefore validated that the SAEM provides a framework for organisations from both the private and public sector to identify a range of intangible and tangible processes, which influence these organisations' approach to quality and the quality of the final products and services. In addition, this model provides organisations with the means to measure their position against a set of internationally accepted criteria. The model, however, does not provide detailed methods as to how organisations can overcome their weaknesses. Organisations need to analyse and evaluate their current status of performance excellence and include required improvement initiatives in their strategic or business plans.

6.3.1.3 Sub-problem 3

Does the currently available South African Excellence Foundation organisational self-assessment questionnaire, originally developed for and used by manufacturing companies, provide the evidence to accurately evaluate the levels of performance at training units of the SANDF?

When performing self-assessment of performance excellence or applying for a Quality Award, training units in the SANDF are required to utilise the concepts and assessment criteria of the South African Excellence Model (see section 4.7.1).

The effects of using a generic questionnaire, originally developed for use by manufacturing companies, for an organisational self-assessment in a training unit within the SANDF was investigated during Stage One of the case study (see section 5.4). An organisational self-assessment was conducted in the SANDF COLET using the SAEF Level 3 Self-assessment Questionnaire for Public Performance Excellence. This self-assessment contributed to reaching some of the aims of organisational self-assessment as it served as a starting point for a structured approach to continuous performance improvement and assisted in identifying specific strengths and areas for improvement within the unit. This information provided management with data for developing plans that would direct a performance improvement process and also supplied a baseline of data for comparison when conducting future assessments for following improvement cycles.

A statistical analysis confirmed a high level of consistency reliability of the SAEF's Self-assessment Questionnaire. When capturing the qualitative contributions by the actors in the case study, the researcher however deduced that many respondents had experienced difficulty in understanding the terminology or interpreting the questions on the SAEF Self-assessment Questionnaire. Academic or business-like language, and concepts more relevant to the production industries were used in the questionnaire and had to be re-interpreted by the respondents into ETD related substitutes. The wide ranges of responses and interpretations when rating the same activities demonstrated a lack of interrated reliability of the questionnaire used for this self-assessment.

Although the SAEF questionnaire could therefore supply an ETD unit in the SANDF and any other ETD provider with a baseline of data for future planning and also offered unit members the opportunity to learn about and become accustomed to using the SA Excellence Model, the qualitative data captured indicated that the validity or trustworthiness of the data received could not be accepted without reservation.

6.3.1.4 <u>Sub-problem 4</u>

How could one optimally ensure the reliability of results of an organisational self-assessment by ETD providers as part of a Continuous Performance Improvement Strategy of the South African National Defence Force?

In answering sub-problem 3 it was indicated that when using the currently available South African Excellence Foundation organisational Self-assessment Questionnaire in an ETD environment, a high level of consistency reliability could be obtained and that data supplied could serve as a baseline of data for improvement planning. The fact that many respondents may however have experienced difficulty in understanding the terminology or interpreting the questions on the SAEF questionnaire prompted the researcher to investigate whether other approaches to organisational self-assessment could possibility enhance or optimise the results of the self-assessment initiatives. The following approaches were investigated further:

- <u>Sub-problem 4.1</u>

  Can a self-assessment questionnaire that is customised to address the needs and culture of ETD units in the SANDF, enhance the quality of the responses?

  An adapted or customised self-assessment questionnaire was constructed based on the suggestions and data received from members involved in quality management within sampled training units of the SANDF (see section 5.5). This customised questionnaire addressed the terminology, culture and needs of training units in the SANDF and aimed to make the questionnaire more understandable to all members in a training unit. Customising the questionnaire involved adapting the business-like language, giving clearer descriptions of criteria and phrasing the questions in such a manner that it included the language, customs and culture more familiar to members within a military environment. Other practical issues that were also addressed were the search for ETD unique components,

the relationship between criterion weightings and the number of questions, time needed to complete the questionnaire and a grading system that would be less confusing.

When conducting an organisational self-assessment in the case study by using the customised questionnaire (see section 5.6), a statistical analysis confirmed the internal consistency reliability, while reduced standard deviations in the scores also illustrated the advantages of using this customised self-assessment questionnaire in a training unit in the SANDF. Qualitative data that were collected however indicated that other factors over and above the understanding and interpretation of questions could influence the responses provided by members of the unit. Including all unit members in a self-assessment process promoted enthusiasm and involvement but it became evident that all members did not possess the necessary knowledge or experience to assess the quality of management processes or activities not directly related to their departments.

Although factors like an improved knowledge of the South African Excellence Model by the respondents and the effect of repeating a very similar assessment within one year, could have effected the outcomes, the results obtained during the case study confirmed that a questionnaire that is customised to address the needs and culture of an organisation will enhance the quality of the results

- Sub-problem 4.2

    What is the significance of using a workshop as method of organisational self-assessment?

    Although it is important to including all members in an organisational self-assessment process in order to promote learning, enthusiasm and involvement, all members do not have the necessary knowledge or experience to accurately assess management processes or activities not directly related to their departments. It was therefore assumed that more reliable data would be gathered, if after completing a self-assessment

questionnaire, a workshop was conducted by a carefully selected group of unit members who were involved in management or quality assurance functions. A self-assessment workshop was therefore conducted as Stage Three of the case study (see section 5.7).

Members who were responsible for quality management within the unit were selected to participate in this self-assessment workshop. The aim of the workshop was to identify as consensus decisions, the unit's strong points as well as areas that needed improvement in order to provide the top management of COLET with additional data that could assist them in implementing their CPIP.

When comparing the responses of the workshop with those obtained when using the generic and customised questionnaire, the identified strengths and areas that needed to be addressed were ranked at various levels of performance. The differences in strong points and weaknesses identified confirmed that the sample of respondents as well as the methods of conducting organisational self-assessment could provide different results and that the selected approach and method of self-assessment would therefore impact on the reliability and validity of the organisational self-assessment. Although using a customised questionnaire could involve more staff members and also improve understanding of the questions asked, conducting a workshop provides the added benefit that a purposefully selected group of quality assurors with distinct viewpoints, could discuss these self-assessment questions and final decisions or responses are recorded only after these members have reached a consensus response to each question posed.

Members that conduct a workshop will not always have similar views, goals and values and other factors like domination and power of a group member; pressures to conform and groupthink could affect choice aggregation. The use of a three phase method during the workshop however confirmed that the different views that exist among members of the group could stimulate debate and enable the group to achieve higher-quality solutions. Although effective participation during a workshop is not

without its challenges and managers and facilitators should continually assess their methods and approaches to participation and group decision-making within organisational self-assessment approaches, the value of both group learning and the social influence of group discussion is evident in the results of the workshop (see section 5.7.7).

While the responses on a self-assessment questionnaire are primarily based on the respondents' own perceptions of performance levels, the workshop added the dimensions of assessing evidence collected and experienced members sharing expertise and knowledge during facilitated group discussions.

In conclusion, it can stated that to ensure the reliability of results of an organisational self-assessment by ETD providers optimally (Sub-problem 4), the approach and method used must be based on facts and evidence collected, involve management and include group decision-making. These factors could be addressed when utilising a self-assessment workshop that is conducted by selected senior personnel in the organisation. The other members of the organisation must not be excluded from the self-assessment process. Prior to the workshop all unit members should complete a questionnaire, which could comprise a simplified or customised questionnaire, to encourage involvement and commitment. The perceptions of the members not directly responsible for management or quality assurance in the organisation could then be taken into consideration throughout the group discussions during the self-assessment workshop.

When investigating how one can optimally ensure the reliability of an organisational self-assessment as part of a continuous performance improvement programme, it must be added that some organisations may believe that when pursuing the optimal reliable data an Award Simulation method should be regarded as providing the best and most reliable data. The researcher believes that this statement cannot be accepted without reservations. The emphasis when pursuing continuous improvement is different from that when seeking recognition for performance excellence.

Although simulating an award application has the added benefits of an external audit and feedback, it also creates some challenges. The comprehensive, time consuming approach with its need for trained assessors, a project manager and report architect or compiler as well as appropriate personnel of the report writing team, could require that senior management is less involved and delegate most of the work to subordinates. Report writers may also use creative writing and cover up some of the real issues in order to impress external assessors. In the researcher's experience this method may be too ambitious as a first attempt at self-assessment and too time and labour intensive to utilise for periodic organisational self-assessments as part of a continuous performance improvement programme.

6.3.1.5 Sub-problem 5

To what extent should organisational self-assessment support a strategy of continuous performance improvement?

This problem was addressed when the implementation of a CPIP was discussed as Stage Four of the case study. The following two questions are related to sub-problem 5:

- Sub-problem 5.1

To what extent could organisational self-assessment accurately identify required end states and address the ways and means to continuously improve performance?

Svensson (see section 2.3.1.5) describes self-assessment in four phases: Planning, Describing, Analysis and Improvement work. Even though this study focused on self-assessment activities and methods, it is clear that one should have a holistic view of the whole process and not isolate the self-assessment actions from the improvement work phase of the process. Self-assessment must culminate in planned improvement actions and the most critical phase of the self-assessment process is therefore action

planning and implementation after the self-assessment has been conducted. The aim of conducting organisational self-assessment in the case study was to identify the unit's status of the quality endeavours and the opportunities for improvement. The self-assessment therefore provided management with *what* should be addressed to improve performance but did not state *how* the improvements should be obtained. Unit plans for improvement that were based on the results of the organisational self-assessment (see section 5.8), addressed the actions and methods (the strategic *Ways*) and the resources (the strategic *Means*) to achieve the planned improvements (the strategic *Ends*).

The search for an approach that would provide optimal self-assessment results was therefore essential as these results supplied the foundation for all future improvement plans and actions. The results from the organisational self-assessments served as a starting point for a structured approach to continuous performance improvement.

An analysis of the self-assessment data could also demonstrate the need for additional resources or instruments to be implemented as part of a performance improvement plan or for future self-assessment initiatives. Lack of appropriate evidence for planning was identified during the planning process in the case study and unit members therefore expressed the need for the implementation of an instrument or tool that could assist them in collecting ETD unique evidence and substantiating the level of performance the evidence represented. These ETD unique requirements included evidence of ETD best practices and systematic training evaluation as well as evidence of adherence to ETD legislation and SAQA accreditation requirements. An instrument used as an additional method for gathering ETD unique data and evidence of performance could enhance performance planning.

A thorough analysis of both self-assessment data and other needs identified will ultimately provide the ends that action plans for continuous improvement should aim to achieve. The improvement plans as ultimate aim of organisational self-assessment must then formulate how

improvement will be reached (the why) and what resources will be required (the means).

- <u>Sub-problem 5.2</u>

    Can organisational self-assessment assist in tracking improvement or progress over time?

    The results from the organisational self-assessment workshop (see section 5.7.6) provided the baseline data and served as a starting point for a structured approach to continuous performance improvement in the unit. The results therefore identified and represented the status of the quality endeavours and the opportunities for improvement at the time of the assessment.

    Organisations must not only focus on the planning and conducting of self-assessment while the improvement actions are neglected. Repeated self-assessments, improvement planning and implementation must be considered as consecutive laps around the improvement cycle (see Figure 2.6). The outcome of the action-planning phase might be supplemented by other improvement considerations and the outcome of the assessment together with possible other improvement considerations, could and must be reflected in the consecutive improvement cycles.

    The motivation for continued improvement is based in experiencing and acknowledging successes achieved. Each of these subsequent organisational self-assessments will identify and represent the status of the quality endeavours or levels of performance at the time of the assessment and thereby assist in tracking improvement or progress over time.

Organisational self-assessment will therefore support a strategy of continuous performance improvement (sub-problem 5) by identifying the strategic ends and provide for plans that will formulate strategic ways and means of reaching these

goals, and continuous assessments will also assist in tracking progress by supplying data of successes achieved.

6.3.1.6 Sub-problem 6

Can organisational self-assessment provide additional benefits to ETD providers in the South African Department of Defence?

Literature that ventures to discuss the benefits of self-assessment, does not make a distinction and lists benefits of both the self-assessment as well as those related to the improvement initiatives. In order to determine whether organisational self-assessment per se could provide an organisation with additional benefits a literature study was carried out as part of chapter 2 of this study (see section 2.3), and a formal survey was conducted at the conclusion of the case study (see 5.8.6). The following discussions of Sub-problems 6.1 to 6.3 indicate the additional benefits of organisational self-assessment:

- Sub-problem 6.1

To what extent can organisational self-assessment help to empower the workforce?

The literature study as well as the survey demonstrated that by participating in an organisational self-assessment, members were encouraged to become personally involved in improvement activities. By engaging everyone available in the organisation in completing a questionnaire, making suggestions for improvement or reflecting on their performances they are empowered to take personal responsibility for organisational performance improvement (see section 6.3.1.1). Realising the need for improvement and the role that each member must fulfil in implementing change and performance improvement in an organisation will give these empowered members the confidence to become involved and volunteer their participation in the improvement initiatives. The involvement of members of all the functional areas will motivate management to provide for the necessary resources like time, personnel

and finances for the implementation of a improvement programme. Organisational self-assessment therefore empowers the workforce, provides members with a sense of direction and makes them realise that new improved targets can be met.

- Sub-problem 6.2

  Could organisational self-assessment increase commitment and passion for continuous performance improvement?

  The final survey in the case study indicated that members in the unit portrayed their commitment to improvement by responding that they were encouraged to become involved in improvement activities (a score of 78%) and also believed that everybody should be involved in the CPIP (a score of 87.4%). They did not believe that the unit was 'biting off more than it could chew' and judged that the unit will benefit from the self-assessment.

  Although continuous improvement is a long-term strategy and therefore needs long-term commitment and patience and time and more successes may be needed to confirm these benefits, members' participation and regular suggestions clearly demonstrated their commitment and passion for continuous performance improvement.

- Sub-problem 6.3

  To what extent can organisational self-assessment promote organisational learning by enhancing the members' understanding of the key basic concepts and criteria of the South African Excellence Model?

  During the final survey the members indicated that participation in the organisational self-assessment also promoted organisational learning (a score of 80%). Presentations to orientate members before conducting the assessment is required and this presentation as well as the structure of the questionnaires or a workshop agenda will introduce members to applying

an acceptable framework for quality management. The self-assessment should also increase quality awareness in all aspects of the unit.

The literature review (see section 2.3) and case study confirmed that organisational self-assessment provides opportunities for education and learning. It creates a focus on the criteria of the selected model or framework for assessing performance levels in the unit.

This study therefore also confirmed that organisational self-assessment could provide additional benefits to ETD providers. Although most literature that discusses the benefits of self-assessment, usually includes and lists benefits of both the self-assessment as well as those related to the improvement initiatives (see section 2.3.1.7), benefits of conducting self-assessment per se can also be identified. These benefits that include the empowerment of members, commitment to improvement and organisational learning, will not only enhance the endeavor for performance improvement, but also increase their potential as members of the organisation. These improved competencies will effect new knowledge creation in the organisation, which leads to the development of intellectual capital and thus a competitive advantage.

The answers to the sub-problems all contributed to addressing the main research problem of this study that was formulated as:

What is the appropriateness and significance of using organisational self-assessment as component of a Continuous Performance Improvement Strategy and Quality Assurance of Education, Training and Development within the South African Department of Defence?

In a changing and competitive world organisations need to continuously develop and improve its performance to ensure maintaining a competitive advantage (see section 2.1). Organisations must constantly determine their current status of performance and identify organisational strengths and areas where improvements can be made. Periodic carefully performed organisational self-assessments are therefore required to measure current performance levels. Managers could then identify needs and base decisions for organisational development on facts instead of perceptions. These self-assessments will however have to involve a thorough, organisation wide evaluation of current management and operations policies, practices and procedures, in order to enhance overall business performance rather than solely concentrating on the quality of products or services.

Educational and training institutions traditionally relied on external inspection for the evaluation of institution and learner performance. These institutions are today taking part in a growing drive for internal, self-evaluation, arising from the desire of institutions and ETD practitioners to assess their own performances (see section 2.3.1.1). Self-assessments as part of an endeavour to sustain continuous improvement is therefore also appropriate for ETD providers in the SANDF. A new defence dispensation and a changing ETD environment in South Africa created additional demands on ETD providers or training units in the SANDF. These units cannot rely on the traditional approaches and processes of evaluation, but must stay abreast of change and progress in both the functional and ETD environments. Although training units within the SANDF may function in a unique military context, national legislation relevant to ETD and the latest approach of openness and transparency into matters of the department imply that military as well as non-military education, training and development in the SANDF must be closely aligned with national training and development initiatives (see section 4.8).

As legislation does not make a distinction between military and private ETD providers most traditionally accepted differences are not relevant anymore. This study's investigation of the appropriateness and significance of regular organisational self-assessments by training units in the SANDF thus has broader implications, as recommendations are just as applicable to all private ETD providers.

In order to provide a comprehensive answer to the research problem stated, the answers presented for the sub-problems supplied the data to address and solve the main problem. When investigating the appropriateness of conducting organisational self-assessment factors like one's approach to quality assurance (sub-problem 1), the framework used (sub-problem 2), available assessment instruments (sub-problem 3), the selected assessment methods (sub-problem 4) and additional benefits desired (sub-problem 5), will all impact on the significance of the self-assessment of ETD providers.

6.4   RECOMMENDATIONS

6.4.1   Recommendations for the Implementation of the Findings

In the light of the aim of this study and the conclusions reached, the following recommendations can be made, aimed at improving organisational self-assessment initiatives for the implementations of a continuous performance improvement strategy.

6.4.1.1   A Model for Organisational Self-assessment of ETD Providers.

A model for a Total Quality Management approach for organisational self-assessment by ETD Providers is recommended. This model that is presented in Figure 6.1, could be used by ETD providers when conducting a first self-assessment and during consecutive self-assessment cycles.

Figure 6.1   **A Total Quality Management Approach to Organisational Self-Assessment of an ETD Provider**
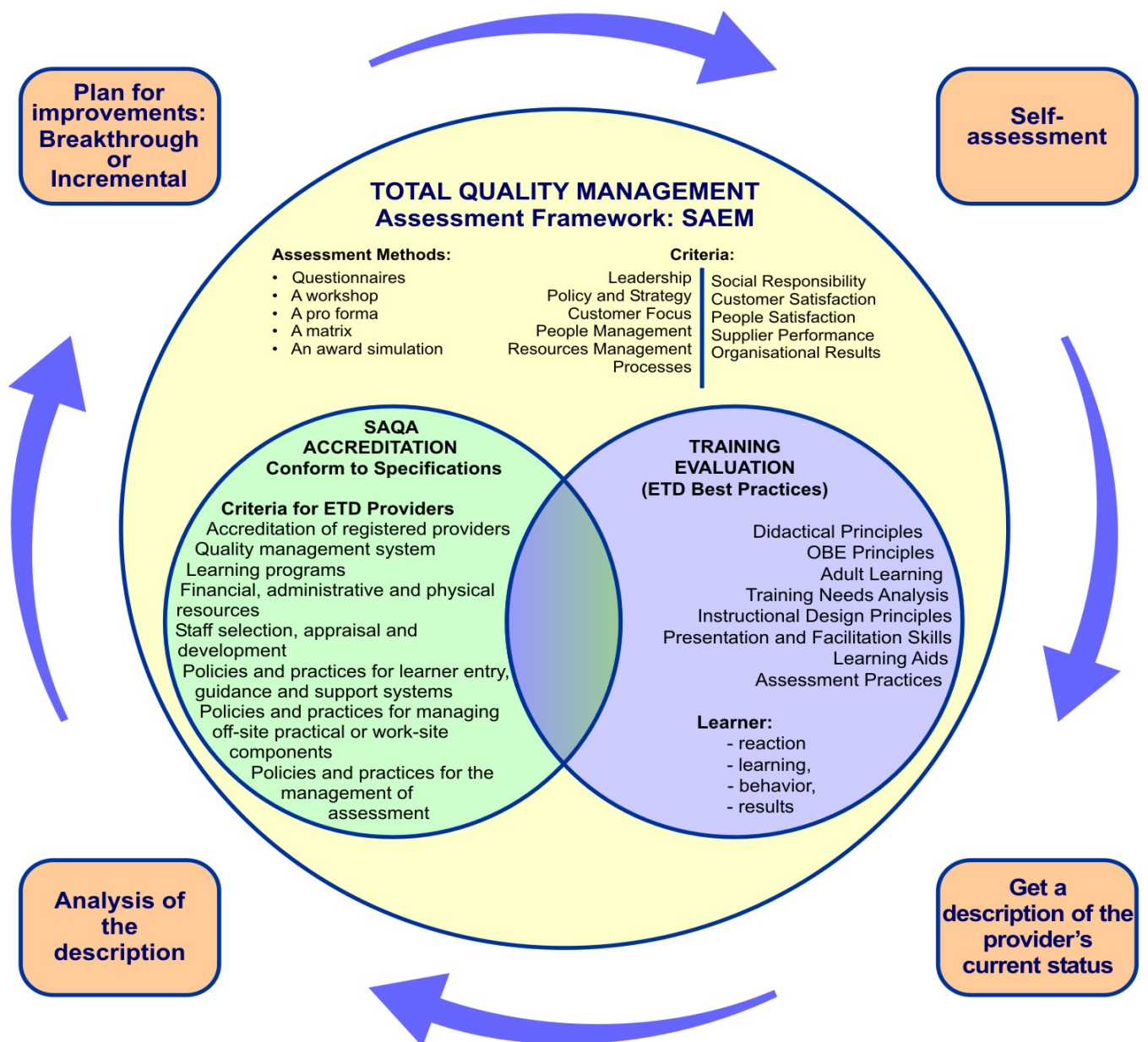
The model is based on the work of Svensson (see section 2.3.1.5) and also describes self-assessment in four phases: Planning, Self-assessment, Describing and Analysis. The four phases are equally important and all the phases contribute to a holistic approach to performance improvement. In such a holistic view these four phases of the self-assessment process can be considered as one of many consecutive laps around the improvement cycle.

The model depicts a TQM approach to organisational self-assessment and indicates how in a South African context the internationally accepted SAEM, with its eleven assessment criteria, can be used to determine organisational strengths or areas that need improvement. A variety of methods may be used that would suit the customs of the organisation or the outcomes required.

ETD Providers however face unique challenges when conducting an organisational self-assessment. Included in a TQM approach ETD providers must also address two ETD specific aspects of quality control. These distinct aspects also share some common fields when assessed.

- <u>SAQA Accreditation</u>. Legislation requires that ETD providers should conform to specified guidelines for accreditation. Although adhering to these requirements can be described as a Conforming to Specifications Approach to quality management, evidence of meeting these accreditation requirements could also be assessed as part of the relevant interrelated SAEM criteria. Table 6.1 provides a summary of how these accreditation requirements can also be assessed as part of a TQM approach.

Table 6.1   The Assessment of Accreditation Requirements as Part of a TQM Approach

Guidelines for SAQA Accreditation	SAEM Assessment Criteria
Accreditation of registered provider	Policy and Strategy Processes
Quality management system	Processes
Learning programmes	Policy and Strategy Customer and Stakeholder Focus Processes Customer and Stakeholder Satisfaction
Financial, administrative and physical resources	Resources and Information Management
Staff selection, appraisal and development	People Management People satisfaction
Policies and practices for learner entry, guidance and support systems.	Policy and Strategy Customer and Stakeholder Focus Processes Customer and Stakeholder Satisfaction
Policies and practices for managing off-site practical or work-site components.	Customer and Stakeholder Focus Processes Customer and Stakeholder Satisfaction
Policies and practices for managing of assessments	Customer and Stakeholder Focus Processes Customer and Stakeholder Satisfaction

- Training Evaluation. Education and training evaluation is directed towards specific learning objectives and learning outcomes and is the process of making judgements about the success and failure of learning processes, materials and programmes, policies and systems. The evaluation process in training focuses on two aspects: the effectiveness of training, which determines whether the correct type of training has been presented, and the efficiency of training, which determines whether the correct methods and techniques were used to impart the course content to students. This evaluation must therefore be included in all the phases of the training process to improve to better learning programme design.

Selecting a relevant approach for training evaluation in an organisation will depend on the approach and relevance to the goals of the learning programmes in the particular organisation. The approach selected should however focus on the transfer of training to the workplace and a return on investment. The training evaluation must include a review of didactical principles, outcomes-based education principles, adult learning, training needs, instructional design principles, presentation and facilitation skills, learning aids and assessment practices.

Although some of these aspects will be addressed when assessing an organisation's accreditation status, thorough training evaluation during all phases of a training programme is necessary. Within a TQM approach within an organisation, training evaluation will supply the relevant evidence to mainly assess the following SAEM criteria: Customer and Stakeholder Focus, Resources and Information Management, Processes, Customer and Stakeholder Satisfaction, and Organisational Results.

A TQM approach to organisational self-assessment of an ETD Provider will also imply a search for continuous performance improvement. Each improvement cycle will result in creating the beginning of a new or consecutive improvement cycle. Additional inputs from environmental scans, stakeholder or customer needs, legislation or any other requirement for improvement must be included in these consecutive cycles of improvement as indicated in figure 6.2.

Figure 6.2   Consecutive Cycles of Performance Improvement
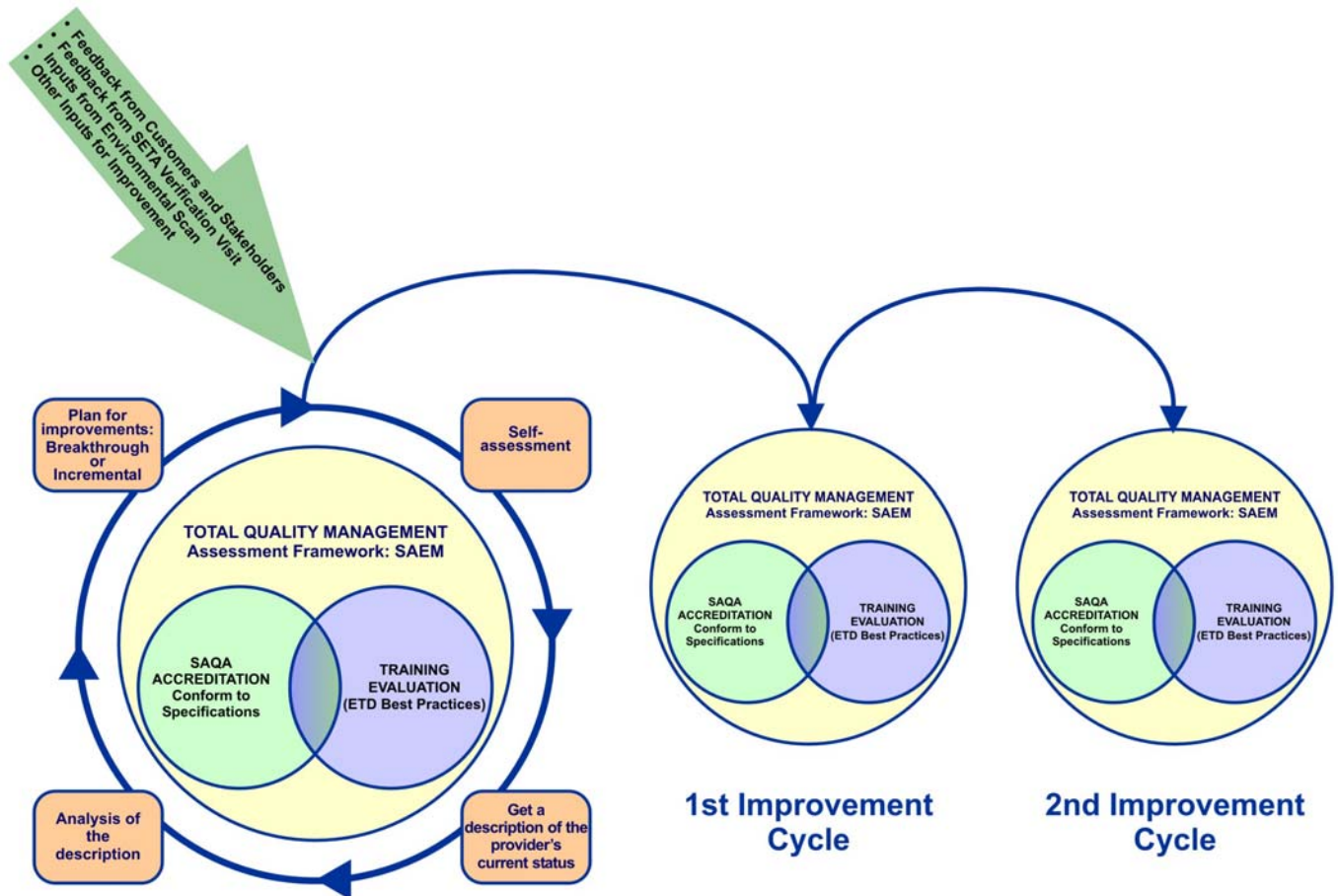
6.4.1.2   <u>An Organisational Self-assessment Process for Use by ETD Providers</u>.

An organisational self-assessment process for use by ETD providers is recommended. This process that is presented in Figure 6.3, will enable ETD providers to plan and conduct self-assessment in a thorough and systematic manner. The process consists of the following eight sub-processes:

Figure 6.3   An Organisational Self-assessment Process for Use by ETD Providers
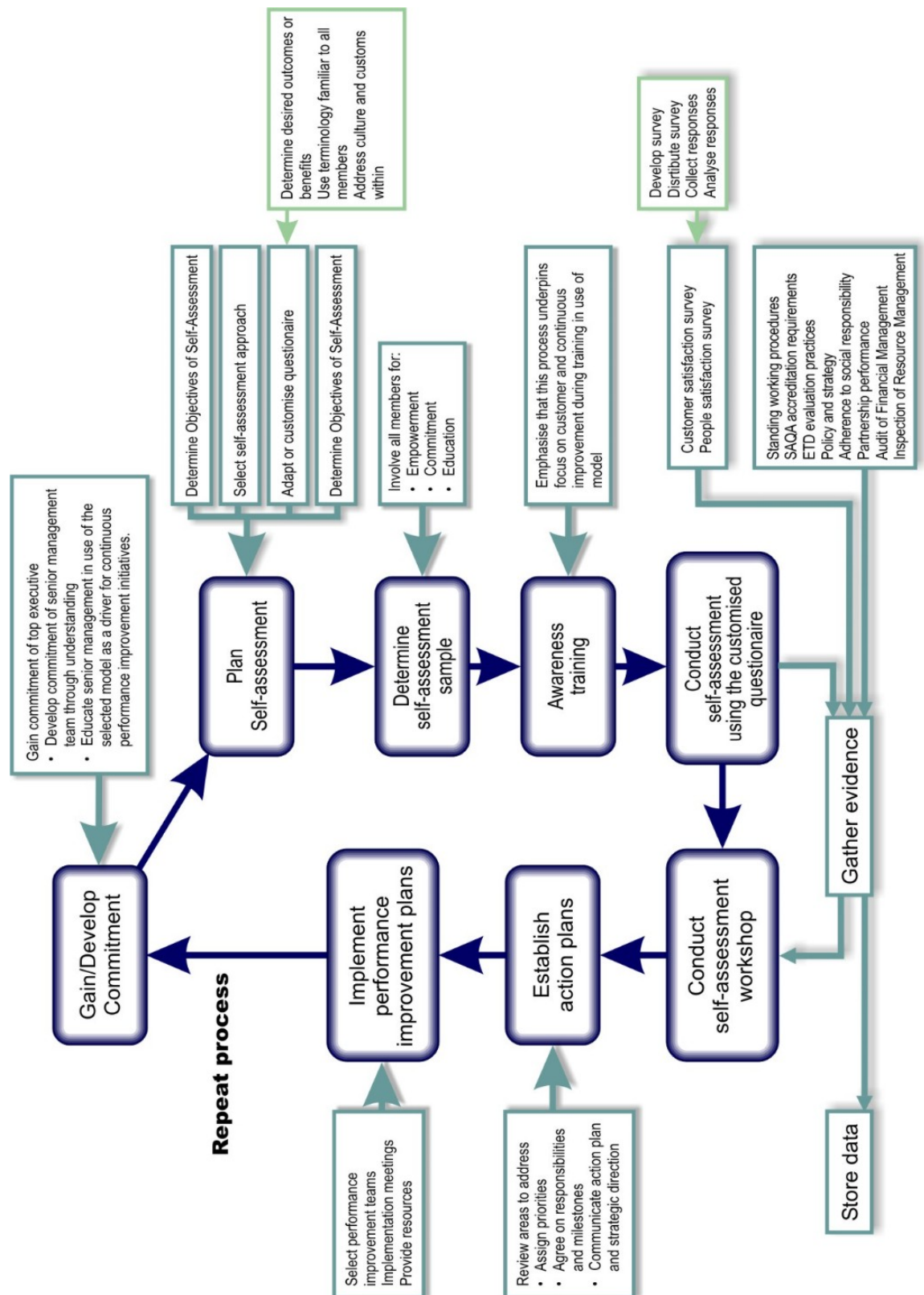
- **Gain and Develop Commitment**

  If the initiative to conduct an organisational self-assessment did not originate at top management level, the commitment by these members must be gained. Commitment must then be developed at senior management level through an understanding of the benefits to be achieved and education in use of the selected model as a driver for continuous performance improvement.

- **Plan the Self-assessment**

  The desired outcomes or objectives the organisation aims to achieve, will determine which assessment approach should be selected. If a questionnaire approach is decided on, the generic SAEF self-assessment questionnaire must be adapted or customised to fit the organisation and members that will be completing the questionnaire. Within an ETD context the terminology, culture and customs of the training institution must be addressed. Questions must also reflect training evaluation and SAQA accreditation matters. The final questionnaire must also include guidelines and instructions for completion.

- **Determine Self-assessment Sample**

  It must be determined who will complete the questionnaire. It is however recommended that all literate personnel be required to become involved in the exercise. Completing the questionnaire as such, is a learning opportunity in the use of the Excellence model and this will empower members and foster commitment for change, which in itself is a performance improvement activity.

- **Present Awareness Training**

  Visual aids in the organisation and well-prepared presentations to all members in the use of the South African Excellence Model will not only enhance the quality of responses received, but will also create enthusiasm and commitment. Emphasis must be placed that the self-assessment process underpins focus on customer and continuous improvement.

- **Conduct Self-assessment Using the Customised Questionnaire**

Questionnaires that include appropriate guidelines and instructions for completion are distributed to all members identified for this self-assessment. Completed questionnaires are gathered and responses analysed. Although the results of this analysis provide an indication of the members' perceptions of organisational strengths and weaknesses, and could be independently used to draw up improvement plans, it is recommended that the data gathered is preferably used as one of the methods of gathering evidence in order to base improvement plans on facts rather than only on the perceptions of individuals. The evidence provided by the analysis of the questionnaire responses could be augmented by evidence recorded from:

  o A customer satisfaction survey
  o A people satisfaction survey
  o A review of the quality of standing working procedures
  o A verification of SAQA accreditation requirements
  o Results from ETD evaluation practices
  o An appraisal of organisational policies and strategies
  o An evaluation of adherence to social responsibility
  o An assessment of partnership performance
  o An audit of the financial management
  o An inspection of resource management

- **Conduct Self-assessment Workshop**

When conducting an organisational self-assessment workshop, a selected group of members involved in management and quality control in the unit or organisation must assess al the evidence gathered. Headings on a Pro forma, which include the eleven South African Excellence Model criteria and their areas to be addressed, or questions in a customised questionnaire, can be used to facilitate group discussions and record consensus decisions on the levels of performance.

An analysis of the decisions and a final report on the status of performance excellence in the unit or organisation will provide the basis for improvement planning.

- **Establish Action Plans**

Organisational self-assessment must ultimately culminate in action plans. Priorities for improvement must be determined by reviewing the organisation's strengths and areas to address. Plans must include improvement actions, delegation of responsibilities and milestones agreed upon. These action plans and strategic direction must be communicated to all the members.

- **Implement Performance Improvement Plans**

Select a Performance Improvement Committee, Improvement Teams, Individual Criteria Champions or any other group or individuals that were planned to drive the implementation of the continuous performance improvement initiative in the organisation or unit. Resources to support the implementation of the plans must also be provided. Regular meetings of the relevant actors involved must monitor and minute achievements as part of the gathering of data and evidence for future organisational self-assessments as these improvement activities will result in providing the base-line data for the following improvement cycle. This implies that the improvement process will now be repeated.

6.4.1.3   Practical Guidelines for Implementing a CPIP

The following practical guidelines are recommended for implementing a CPIP:

- The implementation of a CPIP must be initiated or introduced by the top management and they must be finally accountable for its implementation.

- Top management must determine the aim of the improvement initiatives. The emphasis when pursuing continuous improvement is different from that when aspiring to gain recognition for levels of excellence. Although simulating or applying for an award has the added benefits of an external

audit and feedback, it is also a comprehensive, time consuming approach that is better suited for organisations with an established performance improvement strategy. Entering an award competition could, however, provide new impetus to the effort of Continuous Performance Improvement.

- At first one person could be responsible but then a Continuous Performance Improvement Committee must be selected which is chaired by the Programme Implementation Coordinator. An example of such a committee could be that eleven champions are appointed, each responsible for improvement actions in one of the assessment criteria of the South African Excellence Model.

- A TQM approach to organisational self-assessment of an ETD provider, as was indicated in figure 6.1, must be adopted.

- The organisational self-assessment process for use by ETD providers, as was indicated in figure 6.3, is recommended as it includes all relevant sub-processes for organisational self-assessment.

- Continuous communication and liaison with all stakeholders and clients must be encouraged and this could include regular surveys, meetings with proper minutes and official letters.

- Continuous performance improvement or the eleven criteria of the South African Excellence Model should be standing points on the agenda at the meetings of top management.

- Continuous discussions with and motivation of all members in the organisation or unit must be a priority, as performance improvement must not be seen as the responsibility of senior management only.

- All data collected must be kept on record as evidence for future self-assessment initiatives. The data must be measurable and statistics must be kept.

- Regular training and education opportunities must be created to enhance understanding of quality management, the South African Excellence Model and the need for continuous improvement. It is also recommended that each member receive documentation with the organisation's or unit's vision, mission and key values and the SAEM. Alternatively posters must be visible throughout the unit.

- Everybody in the organisation must be motivated and buy into the process of continuous performance improvement.

- Everyone must know who the unit's stakeholders and clients are and what their expectations are.

- Obtainable targets could be set for each member to achieve.

- Regular benchmarking with other organisations or units must be a priority.

- Members must be involved and creative and innovative thinking promoted by the formulation of a recognition policy that could include commendations, certificates or letters of praise.

- A bulletin board in the organisation should display the aim of the Performance Improvement Programme, criteria and areas that are addressed, members responsible for these criteria and other supporting members, relevant stakeholders, self-assessment results, survey scores, strengths and priorities for improvement, and set targets as well as target dates for actions. Certificates of awards, photographs and letters of praise can also be displayed on this board.

- It is of utmost importance that all the working processes must be formulated and in place. These processes must also be regularly reviewed. Processes must be measurable and provide an audit trail. Improved processes will provide the evidence of change and improvement. Feedback from the bottom up could provide the committee with useful information that could improve the processes in the unit.

- Regular discussions and presentations must inform members of all relevant facts and actions regarding performance improvement in the unit.

- Smaller SAEM action groups with group leaders could each address criteria or priorities for improvement in their working environment.

- Small initial changes that provide members with proof of performance improvement will motivate them to accept larger challenges.

- Ownership by all the members of a Performance Improvement Programme will provide unity in the unit as all members are committed to achieving a common goal. Interdepartmental competition could improve performance, but managers must guard against rivalry and jealousy which are counterproductive.

6.4.2   Recommendations for Further Research

Based on the discussions and findings in this study it is recommended that further research investigate the following aspects:

- The need for and development of an instrument (an evidence collecting package) that would assist ETD providers in collecting and evaluating the quality of the evidence of their ETD unique performances. The aim of such an evidence collection package should however not be to replace traditional self-assessment approaches but to assist in providing relevant evidence to support decision making and enhance the quality of the organisational self-assessment results.

- The role and function of client satisfaction as component of quality assurance of services provided by training institutions. Although real quality of education is measured in terms of what the students know, understand and can do at the end of their education experience, these aspects are also evaluated by other stakeholders like employers and society at large. In education and training no clear understanding exists of the relative impact or expectations of the different stakeholders that would include the learner, the institution, a government authority, a professional body, the future employer, or society at large. As ETD is conducted as part of a larger national quality management system, governments or external agencies are getting increasingly explicit through policy about what they require from ETD providers, while learners and sponsoring employers as well as an ever changing environment all demand the highest levels of quality in ETD.

- The difference in emphasis when conducting organisational self-assessment as part of a continuous performance improvement strategy or as basis for recognition when applying for a national quality award.

6.4.3   Possible Shortcomings of the Study

The following possible shortcomings of this research study could be mentioned:

- It is important to acknowledge that the development and implementation of a continuous performance programme is a long-term strategy and that desired results can only be achieved over time. The dynamic nature of the endeavour will also create consecutive cycles of incremental or even radical change and improvement. Although this study included a case study that described a unit that embarked on a journey of self-discovery and organisational self-assessment, which resulted in the initial implementation of a continuous performance improvement project, only the first cycle of performance improvement was observed. Clearer outcomes may have been identified if the findings of a second cycle of improvement could have been observed and compared with the data gathered during the first cycle.

- The Award Simulation Method is regarded by some organisations as providing the optimal reliable data when conducting organisational self-assessment. The emphasis when pursuing continuous improvement is however different from that

when seeking recognition for performance excellence. The scope of this study was therefore designed to only investigate an approach that was aimed at implementing a continuous performance improvement strategy and did not include an approach for units aspiring to gain recognition for levels of excellence. Although simulating an award application has the added benefits of an external audit and feedback, it is also a comprehensive, time consuming approach that is better suited for organisations with an established performance improvement strategy. In the researcher's experience this method may be too ambitious as a first attempt at self-assessment and too time and labour intensive to utilise for periodic organisational self-assessments as part of a continuous performance improvement programme.

- Only one case was observed to represent the larger context of training units of the SANDF. Examining only one case presented the researcher with the opportunity to become a participant observer who could focus on explaining the natural occurrences during the preparation and conducting of an organisational self-assessment and the implementation of a performance improvement initiative. A possible shortcoming of this research could however be that no patterns could be identified across different units or cases. Investigating other cases within the SANDF or even private ETD Providers could have provided a broader context for interpreting findings of interventions and implementation variability.

6.5   CONCLUDING REMARKS

In a rapidly changing and competitive world even successful organisations will always have to develop and improve their performance. Organisations therefore have to create a picture of their strengths and areas where improvements can be made. This could be done by a carefully performed self-assessment that will give management the possibility to base decisions on facts instead of perceptions. This organisational self-assessment or systematic and regular review of an organisation's activities must involve a thorough, organisation wide evaluation of current management and operations policies, practices and procedures, in order to enhance overall business performance rather than solely concentrating on the quality of products or services.

Even educational and training institutions that traditionally relied on external inspection as the main driving force in terms of the evaluation of institution and learner performance, are today taking part in a growing drive for internal self-evaluation, arising from the desire of institutions and ETD practitioners to assess their own performances.

Self-assessments as part of an endeavour to sustain continuous improvement is therefore also appropriate for ETD providers in the SANDF. Within a new defence dispensation and a changing ETD environment, ETD providers or training units in the SANDF cannot rely on traditional approaches and processes but must stay abreast of change and progress in both the functional and ETD environments. The appropriateness of regular organisational self-assessments by these training units is therefore evident.

As legislation does not make a distinction between military and private ETD providers most traditionally accepted differences are not relevant anymore. This study's investigation of the appropriateness and significance of regular organisational self-assessments by training units in the SANDF thus has broader implications, as recommendations are just as applicable to all private ETD providers.

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APPENDIX A

Self-assessment Questionnaire for Public Service Performance Excellence

Criterion 1: Leadership (25 Points / 10%)

	SAEM EVALUATION			
	0 ⇩	1 ⇩	2 ⇩	3 ⇩
SAEF Definition: How the behaviour and actions of the executive team and all other leaders inspire, support and promote a culture of Performance Excellence.	Not Standard	Some progress	Good progress	Fully achieved
Leadership Questions For each question below, consider your organisations' approach and deployment – then put a (√) in the most appropriate column on the right. In the space below each question, write down what your organisation is doing about that item.				
1a. How leaders visibly demonstrate their commitment to a culture of Performance Excellence. 1a.1 Do the leaders in my organisation set organisation direction and seek future opportunities for the organisation?				
1a.2 Do the leaders in my organisation act as role modules for the organisation's values and expectations, leading by example?				
1a.3 Do the leaders in my organisation make themselves accessible, listen and respond to the organisation's people and stakeholders?				
1a.4 Do the leaders in my organisation review and improve the effectiveness of their own leadership?				
1a.5 Do the leaders in my organisation actively become involved in transformation processes?				
1a.6 Do the leaders in my organisation address public responsibilities and practice good citizenship?				
1b How leaders support improvement and involvement. 1b.1 Do the leaders in my organisation fund continuous learning, facilitation and improvement activities?				
1b.2 Do the leaders in my organisation use appraisal and promotion systems to support improvement and involvement?				
1b.3 Do the leaders in my organisation become involved with customers, partners and supplier chains to understand and respond to mutual interests?				
1c How leaders recognise and appreciate people's efforts and achievements. 1c.1 Do the leaders in my organisation recognize individuals and teams at all levels within the organisation?				
1c.2 Do the leaders in my organisation recognize individuals and teams outside the organization (for example, customers, suppliers and partners?				
Total number of ticks (√) per column =				
Factor =	0	33	67	100
Value (ticks multiplied by factor) =				
Total (of the four columns) =				
% Achievement (total divided by number of questions, namely 11) =				%
Total points for leadership (% Achievement Score X 0.25) =				/ 25

Criterion 2: Policy and Strategy   (17 Points / 6.8%)

	0 ⇩	1 ⇩	2 ⇩	3 ⇩
SAEF Definition: How the organisation formulates, reviews and turns policy and strategy into plans and actions.				
Policy and Strategy Questions For each question below, consider your organisations' approach and deployment then put a (√) in the most appropriate column on the right. In the space below each question, write down what your organization is doing about that item.	Not Standard	Some progress	Good progress	Fully achieved
2a. **How policy and strategy is developed, communicated and implemented.** 2a.1 Does my organization develop policy and strategy based upon: • Legislative requirements? • Performance indicators? • Customer and stakeholder requirements? • Organization's peoples capabilities? • Supplier and partner capabilities? • Government initiatives, directions and standards?				
2a.2 Does my organization communicate policy and strategy to all its people?				
2b. **How policy and strategy are regularly reviewed updated and improved.** 2b.1 Does my organization review performance requirements and key performance measures?				
2b.2 Does my organization track performance relative to plans?				
Total number of ticks (√) per column =				
Factor =	0	33	67	100
Value (ticks multiplied by factor) =				
Total (of the four columns) =				
% Achievement (total divided by number of questions, namely 4) =				%
Total points for Policy and Strategy (% Achievement Score X 0.17) =				/17

Criterion 3:   Customer and stakeholder Focus   (5 Points %)

SAEF Definition: How the organization determines needs and expectations; enhances relationships and determines satisfaction of customers and stakeholders.	0 ⇩	1 ⇩	2 ⇩	3 ⇩
Customer and stakeholder Focus Questions For each question below, consider your organisations' approach and deployment then put a (√) in the most appropriate column on the right. In the space below each question, write down what your organization is doing about that item.	Not Standard	Some progress	Good progress	Fully achieved
3a. How customer and stakeholder needs are determined and used. 3a.1 Does my organization evaluate and improve its approach to listening and learning from customers and stakeholders?				
3a.2 Does my organisation evaluate, process and act on information received?				
3a.3 Does my organisation determine and review customer and stakeholder contact requirements and deploy the requirements to all employees?				
3b How customer and stakeholder satisfaction is determined. 3b.1 Does my organisation follow up with customers and stakeholders on products and services to receive prompt and actionable feedback?				
3b.2 Does my organisation resolve complaints promptly and effectively?				
Total number of ticks (√) per column =				
Factor =	0	33	67	100
Value (ticks multiplied by factor) =				
Total (of the four columns) =				
% Achievement (total divided by number of questions, namely 5) =				%
Total points for Customer Focus (% Achievement Score X 0.15) =				/15

Criterion 4   People Management   (23 Points / 9.2%)

SAEF Definition: How the organization develops and releases the full potential of its people.	0 ⇩	1 ⇩	2 ⇩	3 ⇩
People Management Questions For each question below, consider your organisations' approach and deployment then put a (√) in the most appropriate column on the right. In the space below each question, write down what your organization is doing about that item.	Not Standard	Some progress	Good progress	Fully achieved
4a. How people capabilities are developed and reviewed. 4a.1 Does my organization align the people resources plan with policy, strategy and values?				
4a.2 Does my organization orientate new employees?				
4a.3 Does my orghanisation develop people through work experience?				
4a.4 Does my organization acknowledge and manage cultural diversity within its workforce?				
4b How people are involved, empowered and recognition is ensured. 4b.1 Does my organization involve all its people (as individuals and teams) in continuous improvement activities?				
4b.2 Does my organization empower people to take action and evaluate the effectiveness?				
4b.3 Does my organization achieve effective up, down and lateral communication?				
4b.4 Does my organization design and apply innovative recognition systems to sustain involvement, empowerment and achievement?				
4c How people are cared for. 4c.1 Does the organization include well-being factors in improvement activities – for example health and safety?				
Total number of ticks (√) per column =				
Factor =	0	33	67	100
Value (ticks multiplied by factor) =				
Total (of the four columns) =				
% Achievement (total divided by number of questions, namely 9) =				%
Total points for People Management (% Achievement Score X 0.23) =				/23

Criterion 5   Resources and Information Management   (15 Points / 6%)

	0 ⇩	1 ⇩	2 ⇩	3 ⇩
SAEF Definition: How the organization manages and uses resources and information effectively and efficiently.				
Resources and Information Management Questions For each question below, consider your organisations' approach and deployment then put a (√) in the most appropriate column on the right. In the space below each question, write down what your organization is doing about that item.	Not Standard	Some progress	Good progress	Fully achieved
5a. How financial resources are managed. 5a.1 Does my organization use financial management to support policy and strategy?				
5a.2 Does my organization improve financial parameters, such as cash flow, profitability, cost and margins and assets?				
5a.3 Does my orghanisation analyse and review organization performance against budget?				
5b How information resources are managed. 5b.1 Does my organization structure and manage information to support policy and strategy?				
5b.2 Does my organization evaluate and keep current with changing customer and stakeholder needs?				
5b.3 Does my organization ensure everyone has appropriate information to do their work?				
5c How material and other resources are managed. 5c.1 Does my organization make best use of buildings, equipment and other resources?				
5c.2 Does my organization manage tender processes and contracts effectively?				
5c.3 Does my organization identify, evaluate and use alternative and emerging technologies?				
5c.4 Does my organization manage and optimize material inventories?				
5c.5 Does my organization improve supplier and partner relationships?				
Total number of ticks (√) per column =				
Factor =	0	33	67	100
Value (ticks multiplied by factor) =				
Total (of the four columns) =				
% Achievement (total divided by number of questions, namely 11) =				%
Total points for Resource Management (% Achievement Score X 0.15) =				/15

Criterion 6   Processes   (30 Points / 12%)

SAEF Definition: How the organisation identifies and improves its activities and processes.	0 ⇩	1 ⇩	2 ⇩	3 ⇩
Process Questions For each question below, consider your organisations' approach and deployment then put a (√) in the most appropriate column on the right. In the space below each question, write down what your organization is doing about that item.	Not Standard	Some progress	Good progress	Fully achieved
6a. **How Processes are identified and systematically managed.** 6a.1 Does my organization identify key processes?				
6a.2 Does my organization incorporate changing customer and stakeholder requirements into product and service processes?				
6a.3 Does my organisation design product, service and delivery processes to meet quality standards and operational performance requirements?				
6a.4 Does my organization establish process ownership, responsibility and accountability?				
6a.5 Does my organization use established systems for example NOSA, quality, environmental, health and safety systems in process management?				
6b **How processes are reviewed and targets are set for improvement.** 6b.1 Does my organization continuously identify and prioritise methods of improvement, both incremental and breakthrough?				
6b.2 Does my organization encourage the innovative and creative talents of employees in process improvement?				
6b.3 Does my organization manage and support new or process changes through testing, communication and review?				

	0	1	2	3
Total number of ticks (√) per column =				
Factor =	0	33	67	100
Value (ticks multiplied by factor) =				
Total (of the four columns) =				
% Achievement (total divided by number of questions, namely 8) =				%
Total points for Processes (% Achievement Score X 0.3) =				/30

Criterion 7   Social Responsibility   (15 Points / 6%)

SAEF Definition: How the organisation is achieving in satisfying the needs and the expectations of the local community.	0 ⇩	1 ⇩	2 ⇩	3 ⇩
Social Responsibility Questions For each question below, consider your organisations' approach and deployment then put a (√) in the most appropriate column on the right. In the space below each question, write down what your organization is doing about that item.	Not Standard	Some progress	Good progress	Fully achieved
7a. **Measurement of the organisation's impact on the society.** 7a.1 Does my organization have results (Supported by numbers) that show, trends in relation to improved performance as a responsible government authority, e.g equal opportunity practice?				
7a.2 Does my organization have results (supported by numbers) that show trends in relation to promoting community involvement in outreach initiatives, such as education and training, sport, medical and welfare?				
7a.3 Does my organisation have results (supported by numbers) that show trends in relation to handling changes in employment levels?				
7a.4 Does my organization have results (supported by numbers) that show trends in relation to receiving accolades and awards?				
Total number of ticks (√) per column =				
Factor =	0	33	67	100
Value (ticks multiplied by factor) =				
Total (of the four columns) =				
% Achievement (total divided by number of questions, namely 4) =				%
Total points for Social Responsibility (% Achievement Score X 0.15) =				/15

Criterion 8   Customer and Stakeholder Satisfaction   (43 Points / 17.2%)

	0 ⇩	1 ⇩	2 ⇩	3 ⇩
SAEF Definition: What the organisation is achieving in relation to the satisfaction of its external customers and stakeholders.				
Customer and Stakeholder Satisfaction Questions For each question below, consider your organisations' approach and deployment then put a (√) in the most appropriate column on the right. In the space below each question, write down what your organization is doing about that item.	Not Standard	Some progress	Good progress	Fully achieved
8a. **Measurements relating to the satisfaction of the organization's customers and stakeholders.** 8a.1 Does my organization have results (supported by numbers) that show, trends in relation to improved overall image? Consider the following: • Fairness and courtesy. • Integrity. • Level of customer satisfaction and dissatisfaction. • Communication. • Awards and accolades received.				
8a.2 Does my organization have results (supported by numbers) that show trends in relation to its products and services? Consider the following: • Accessibility of the service. • Responsiveness and flexibility in meeting customer needs. • Defect error and waste. • Reliability and sustainability of the service. • Cost of the service. • Response time. • Percentage of complaints resolved on first contact. • Documentation simplicity, convenience and accuracy.				
Total number of ticks (√) per column =				
Factor =	0	33	67	100
Value (ticks multiplied by factor) =				
Total (of the four columns) =				
% Achievement (total divided by number of questions, namely 2) =				%
Total points for Customer Satisfaction (% Achievement Score X 0.43) =				/43

Criterion 9　　　　People Satisfaction　(22 Points / 8.8%)

SAEF Definition: What the organisation is achieving in relation to the satisfaction of its people.	0 ⇩	1 ⇩	2 ⇩	3 ⇩
People Satisfaction Questions For each question below, consider your organisations' approach and then put a (√) in the most appropriate column on the right. In the space below each question, write down what your organization is doing about that item.	Not Standard	Some progress	Good progress	Fully achieved
9. **Measurements relating to the satisfaction of the organization's people.** 8.1　Does my organization have results (supported by numbers) that show, trends in relation to the motivation and involvement of its people? Consider the following: • Ethical conduct. • Safe and pleasant working environment. • Equal opportunities. • Training and development. • Recognition and appreciation of individuals and teams.				
9.2　Does my organization have results (supported by numbers) that show trends in relation to the satisfaction and well-being of its people? Consider the following: • Absenteeism. • Grievances. • Staff turnover. • Strikes and Disputes. • Accident levels. • Use of facilities provided by the organization (recreation etc.).				
9.3　Does my organization have results (supported by numbers) that show trends in relation to services provided to its people? Consider the following: • Accuracy of personnel administration. • Communication effectiveness. • Speed of response to enquiries.				
Total number of ticks (√) per column =				
Factor =	0	33	67	100
Value (ticks multiplied by factor) =				
Total (of the four columns) =				
% Achievement (total divided by number of questions, namely 3) =				%
Total points for People Satisfaction (% Achievement Score X 0.22) =				/22

Criterion 10: Suppliers and Partnership Performance (7 Points / 2.8%)

SAEF Definition: What the organisation is achieving in relation to the management of supplier and partnership processes.	0 ⇩	1 ⇩	2 ⇩	3 ⇩
Suppliers and Partnership Performance Questions For each question below, consider your organisations' approach and deployment then put a (√) in the most appropriate column on the right. In the space below each question, write down what your organisation is doing about that item.	Not Standard	Some progress	Good progress	Fully achieved
10. **Measurement relating to the performance of the organisation's suppliers and partners.** 10.1 Does my organisation have results (supported by numbers) that show trends in integrity?				
10.2 Does my organisation have results (supported by numbers) that show trends in reliability?				
10.3 Does my organisation have results (supported by numbers) that show trends in performance levels?				
10.4 Does my organisation have results (supported by numbers) that show trends in cost reduction due to performance audits?				
10.5 Does my organisation have results (supported by numbers) that show trends in enhancement of supplier and partner knowledge?				
10.6 Does my organisation have results (supported by numbers) that show trends in continuous improvement in product and service quality?				
10.7 Does my organisation have results (supported by numbers) that show trends in the ability to respond to organisational needs?				
10.8 Does my organisation have results (supported by numbers) that show trends in speed of response to customer complaints?				
10.9 Does my organisation have results (supported by numbers) that show trends in added value of partnerships?				
10.10 Does my organisation have results (supported by numbers) that show trends in application of equity principles (employment practices etc.)?				
Total number of ticks (√) per column =				
Factor =	0	33	67	100
Value (ticks multiplied by factor) =				
Total (of the four columns) =				
% Achievement (total divided by number of questions, namely 10) =				%
Total points for Supplier Performance (% Achievement Score X 0.07) =				/7

Criterion 11: Organisation Results (38 Points / 15.2%)

	0 ⇓	1 ⇓	2 ⇓	3 ⇓
SAEF Definition: What the organization is achieving in relation to its planned organization objectives and in satisfying the needs and expectations of every one with a financial interest or other stake in the organization.				
Organisation Results Questions For each question below, consider your organisations' approach and deployment then put a (√) in the most appropriate column on the right. In the space below each question, write down what your organization is doing about that item.	Not Standard	Some progress	Good progress	Fully achieved
11a. Financial measurements of the organisation's performance. 11a.1 Does my organization have results (supported by numbers) that show trends in areas such as: • Gross margin? • Net surplus (trading services etc.)? • Sales (including electricity and water)?				
11a.2 Does my organization have results (supported by numbers) that show trends in balance sheet items including: • Long term borrowing? • Total sales? • Working capital (including inventory turnover)?				
11a.3 Does my organization have results (supported by numbers) that show trends in cash flow items including operating cash flow?				
11a.4 Does my organization have results (supported by numbers) that show trends in other relevant areas such as: • Outstanding debtors including non-payment and credit control? • Return on funds?				
11b. Additional measurements of the Organisation's performance 11b.1 Does my organization have results (supported by numbers) that show trends in overall performance improvement relating to service levels?				
11b.2 Does my organization have results (supported by numbers) that show trends in key processes relating to areas such as: • Defect rate? • Productivity? • Service time?				
11b.3 Does my organization have results (supported by numbers) that show trends in information relating to areas such as: • Accessibility? • Relevance? • Timeliness?				

A-13				
11b.4 Does my organization have results (supported by numbers) that show trends in suppliers and materials relating to areas such as: • Inventory turnover? • Price? • Response time?				
11b.5 Does my organization have results (supported by numbers) that show trends in assets relating to areas such as: • Maintenance costs? • Utilization?				
11b.6 Does my organization have results (supported by numbers) that show trends in technology relating to areas such as • Impact on service efficiency?				
Total number of ticks (√) per column =				
Factor =	0	33	67	100
Value (ticks multiplied by factor) =				
Total (of the four columns) =				
% Achievement (total divided by number of questions, namely 10) =				%
Total points for Organisation Results (% Achievement Score X 0.38) =				/ 38

Appendix B

**Draft Customised Self-Assessment Questionnaire
for Feedback from Quality Assurors in the SANDF**

QUESTIONNAIRE

SELF-ASSESSMENT AS COMPONENT OF A CONTINUOUS PERFORMANCE IMPROVEMENT STRATEGY AND QUALITY ASSURANCE OF EDUCATION, TRAINING AND DEVELOPMENT WITHIN THE SOUTH AFRICAN DEPARTMENT OF DEFENCE.

Customising The South African Excellence Foundation Self-Assessment Questionnaire For The Use By Training Units In The Department Of Defence.

Researcher: Lt Col V.H. von Solms
July 2004

QUESTIONNAIRE

CUSTOMISING THE SOUTH AFRICAN EXCELLENCE FOUNDATION SELF-ASSESSMENT QUESTIONNAIRE FOR THE USE OF TRAINING UNITS IN THE DEPARTMENT OF DEFENCE.

For each question below, provide the following two responses:

- **Formulation of the Question**. Mark in the three columns provided whether you are of the opinion that:

  o The formulation of the question is bad and confusing.
  o The formulation of the question is acceptable but needs minor improvements.
  o The formulation of the question is good and gives a clear description of what is required from a respondent.

- **Relevance to Training Units**. Mark in the three columns provided whether your perception is:

  o That the question addresses an issue that **is not relevant to Training Units** and should not be addressed when assessing the level of Performance Excellence in the unit.
  o The question addresses an issue that **has some relevance to Training Units** and could possibly enhance Performance if assessed.
  o The question addresses an issue that **is relevant to Training Units** and is essential for improving performance levels in the unit.

The South African Excellence Model

The columns provided for Self-assessment of your unit **must not be answered** as part of this survey.
These are only attached to provide you with more clarity as to how the criteria are assessed.

CUSTOMISING THE SOUTH AFRICAN EXCELLENCE FOUNDATION SELF-ASSESSMENT QUESTIONNAIRE FOR THE USE BY TRAINING UNITS IN THE DEPARTMENT OF DEFENCE.

Please complete the following questionnaire as accurate as possible.

Mark all selected answers with a **(√)** in the spaces provided.

Where relevant write your suggestions or remarks in a clear handwriting and be brief and to the point.

Your cooperation is greatly appreciated.

PERSONAL INFORMATION

1. Service or Division of you Unit:

Joint	SA Army	SAAF	SAN	SAMHS	Def Int	SF

2. Level of your post in your unit

NCO	WO	Junior Officer	Senior Officer

3. Appointment
ETD Qualifications

Military	PSAP

4. Gender

Male	Female

5. Do you have Tertiary Qualifications

No	Yes

6. Do you have

No	Yes

7. Years of experience in ETD.

Less than a year	1 to 3 years	4 to 6 years	More than 6 years

8. Proficiency in Reading and understanding English

Poor	Fair	Good	Excellent

9.   Please complete the following table

		No	Yes
9.1	Have you completed any South African Excellence Foundation courses?		
9.2	Have you completed any other Performance Excellence or Quality Management courses?		
9.3	Has your unit done a SAEF or any other Performance Improvement Self-assessment before?		
9.4	Were you personally involved in an SAEF or any other Performance Improvement Self-assessment before?		

9.5	Has your unit applied for a SAEF or any other Performance Improvement Award in the past?		

Criterion 1:   LEADERSHIP (SAEM : 25 Points / 10%)

SAEF Definition of the criterion Leadership:
How the behaviour and actions of the executive team and all other leaders inspire, support and promote a culture of Performance Excellence.

Guidelines For Self-Assessment of Leaders in a Training Unit
- "Leaders" will include Officers Commanding, and their Executive team as well as Wing Commanders, Senior Instructors etc.
- Actions of the Chiefs of Services, Chief of Joint Training, Training Directors or other external authorities, must not be assessed as Leaders of the unit.
- Higher authorities that mandates or requires the training done at your unit, must be interpreted as "stakeholders".
- Actions of Leaders are in some cases influenced by prescribed Doctrine, Policies and Instructions from higher authorities and must be assessed accordingly.

Leadership Questions
For each question below, provide the following two responses:
- **Formulation of the Question**. Mark in the three columns provided whether you are of the opinion that:
  - The formulation of the question is bad and confusing.
  - The formulation of the question is acceptable but needs minor improvements.
  - The formulation of the question is good and gives a clear description of what is required from a respondent.
- **Relevance to Training Units**. Mark in the three columns provided whether your perception is:
  - That the question addresses an issue that **is not relevant to Training Units** and should not be addressed when assessing the level of Performance Excellence in the unit.
  - The question addresses an issue that **has some relevance to Training Units** and could possibly enhance Performance if assessed.
  - The question addresses an issue that **is relevant to Training Units** and is essential for improving performance levels in the unit.

The South African Excellence Model

The columns provided for Self-assessment of your unit **must not be answered** as part of this survey.
These are only attached to provide you with more clarity as to how the criteria are assessed.

Units may use these columns at a later stage to internally conduct a self-assessment of their Performance Excellence. In this case assistance could be provided in order to calculate the scores.

Leadership Questions **For each question below, consider the:** • Formulation of the question and • Relevance of this question to determine the Performance Excellence of a Training Unit. Mark your response with a √ in the selected block.	FORMULATION OF THE QUESTION			RELEVANCE TO TRAINING UNITS			SAEM EVALUATION (For Info only)			
	0 ⇩	1 ⇩	2 ⇩	0 ⇩	1 ⇩	2 ⇩	0 ⇩	1 ⇩	2 ⇩	3 ⇩
	Bad	Acceptable but needs minor improvements	Good and clear	Not relevant to Training units	Some relevance to Training units	Very relevant to Training units	Not Standard	Some progress	Good progress	Fully achieved
1a. **How leaders visibly demonstrate their commitment to a culture of Performance Excellence.** 1a.1 Do all the leaders in my unit believe in an approach of Continuous Performance Improvement in the unit?										
1a.2 Do the leaders in my unit set unit direction and seek future Training and Development opportunities and approaches?										
1a.3 Do the leaders in my unit act as role models for the unit's values and expectations? (Do they lead by example?)										
1a.4 Do the leaders in my unit make themselves accessible, listen and respond to the needs and suggestions of the units' members?										
1a.5 Do the leaders in my unit make themselves accessible by listening and responding to the needs and suggestions from the units' clients?										
1a.6 Do the leaders in my unit make themselves accessible by responding to the needs and prescripts from the units' stakeholders (higher authorities)?										
1a.7 Do the leaders in my unit evaluate, review and improve the effectiveness of their own leadership?										

Leadership Questions	FORMULATION OF THE QUESTION				RELEVANCE TO TRAINING UNITS				SAEM EVALUATION (For Info only)			
	0 ⇩	1 ⇩	2 ⇩		0 ⇩	1 ⇩	2 ⇩		0 ⇩	1 ⇩	2 ⇩	3 ⇩
For each question below, consider the: • Formulation of the question and • Relevance of this question to determine the Performance Excellence of a Training Unit. Mark your response with a √ in the selected block.	Bad	Acceptable but needs minor improvements	Good and clear		Not relevant to Training units	Some relevance to Training units	Very relevant to Training units		Not Standard	Some progress	Good progress	Fully achieved
1a.8 Do the leaders in my unit actively become involved in transformation processes?												
1a.9 Do the leaders in my unit address public responsibilities and practice good citizenship?												
1b **How leaders support improvement and involvement.** 1b.1 Do the leaders in my unit budget for and fund continuous learning, and improvement opportunities for unit members?												
1b.2 Do the leaders in my unit effectively use the appraisal and promotion systems to support improvement and involvement of all members?												
1b.3 Do the leaders in my unit become involved with customers, stakeholders and Support units in order to respond to mutual interests?												
1c **How leaders recognise and appreciate people's efforts and achievements.** 1c.1 Do the leaders in my unit recognise the inputs and efforts of individuals and teams at all levels in the unit?												
1c.2 Do the leaders in my unit recognise the inputs and efforts of individuals and teams outside the organisation (for example, support from stakeholders, other units or civilian organisations)?												

Are there any other issues related to assessing the criterion "Leadership" that you believe should be assessed in order to enhance Performance in a Training Unit?

Criterion 2: POLICY AND STRATEGY (SAEM : 17 Points / 6.8%)

SAEF Definition of Policy and Strategy:
How the organisation formulates, reviews and turns policy and strategy into plans and actions.

Guidelines For Self-Assessment of Policy and Strategy in a Training Unit
- When assessing according to this criterion, both the requirements by DOD policies and strategies as well as national policies and acts (e.g. SAQA Act) must be taken into account.

Policy and Strategy Questions
For each question below, provide the following two responses:

- **Formulation of the Question**. Mark in the three columns provided whether you are of the opinion that:
    o The formulation of the question is bad and confusing.
    o The formulation of the question is acceptable but needs minor improvement.
    o The formulation of the question is good and gives a clear description of what is required from a respondent.

- **Relevance to Training Units**. Mark in the three columns provided whether your perception is:
    o That the question addresses an issue that **is not relevant to Training Units** and should not be addressed when assessing the level of Performance Excellence in the unit.
    o The question addresses an issue that **has some relevance to Training Units** and could possibly enhance Performance if assessed.
    o The question addresses an issue that **is relevant to Training Units** and is essential for improving performance levels in the unit.

The South African Excellence Model

The columns provided for Self-assessment of your unit **must not be answered** as part of this survey.
These are only attached to provide you with more clarity as to how the criteria are assessed.
Units may use these columns at a later stage to internally conduct a self-assessment of their Performance Excellence. In this case assistance could be provided in order to calculate the scores.

Policy and Strategy Questions	FORMULATION OF THE QUESTION				RELEVANCE TO TRAINING UNITS				SAEM EVALUATION (For Info only)			
	0 ⇓	1 ⇓	2 ⇓		0 ⇓	1 ⇓	2 ⇓		0 ⇓	1 ⇓	2 ⇓	3 ⇓
For each question below, consider the: • Formulation of the question and • Relevance of this question to determine the Performance Excellence of a Training Unit. Mark your response with a √ in the selected block.	Bad	Acceptable but needs minor improvement	Good and clear		Not relevant to Training units	Some relevance to Training units	Very relevant to Training units		Not Standard	Some progress	Good progress	Fully achieved
2a. **How policy and strategy are developed, communicated and implemented.** **2a.1 Do members in my unit contribute to the development of ETD policy and strategy in the wider DOD?**												
2a2 Does my unit develop unit policy, plans and processes based upon Legislative requirements (e.g. SAQA Act)?												
2a.3 Does my unit develop unit policy, plans and processes based upon Performance indicators?												
2a.4 Does my unit develop unit policy, plans and processes based upon Customer and Stakeholder requirements?												
2a.5 Does my unit develop unit policy, plans and processes based upon the Unit's people capabilities?												
2a.6 Does my unit develop unit policy, plans and processes based upon the unit's Suppliers and Partners capabilities?												
2a.7 Does my unit develop unit policy, plans and processes based upon Government initiatives, directions and standards?												

Policy and Strategy Questions	FORMULATION OF THE QUESTION			RELEVANCE TO TRAINING UNITS			SAEM EVALUATION (For Info only)			
	0 ⇩	1 ⇩	2 ⇩	0 ⇩	1 ⇩	2 ⇩	0 ⇩	1 ⇩	2 ⇩	3 ⇩
For each question below, consider the: • Formulation of the question and • Relevance of this question to determine the Performance Excellence of a Training Unit. Mark your response with a √ in the selected block.	Bad	Acceptable but needs minor improvement	Good and clear	Not relevant to Training units	Some relevance to Training units	Very relevant to Training units	Not Standard	Some progress	Good progress	Fully achieved
2a.8 Does my unit communicate policy and strategy to all its members?										
2b. **How policy and strategy are regularly reviewed, updated and improved.** 2b.1 Does my unit regularly review performance requirements and key performance measures?										
2b.2 Does my unit check and control whether performance is still in accordance to plans?										

Are there any other issues related to assessing the criterion "Policy and Strategy" that you believe should be assessed in order to enhance Performance in a Training Unit?

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Criterion 3: **CUSTOMER AND STAKEHOLDER FOCUS (SAEM: 15 Points / 6 %)**

SAEF Definition of Customer and Stakeholder Focus:
How the organisation determines needs and expectations; enhances relationships and determines satisfaction of customers and stakeholders.

Guidelines for Self-Assessment of Customer and Stakeholder Focus in a Training Unit
- For the purpose of this assessment, higher authorities that mandate or require the training presented at your unit, must be interpreted as "stakeholders" (e.g. C J Trg or Trg Dir etc.).
- Learners or students can be classified as the unit's customers or clients.
- Other additional stakeholders and customers may be identified by each Training unit.

Customer and Stakeholder Focus Questions
For each question below, provide the following two responses:

- **Formulation of the Question**. Mark in the three columns provided whether you are of the opinion that:
  - o The formulation of the question is bad and confusing.
  - o The formulation of the question is acceptable but needs minor improvement.
  - o The formulation of the question is good and gives a clear description of what is required from a respondent.

- **Relevance to Training Units**. Mark in the three columns provided whether your perception is:
  - o That the question addresses an issue that **is not relevant to Training Units** and should not be addressed when assessing the level of Performance Excellence in the unit.
  - o The question addresses an issue that **has some relevance to Training Units** and could possibly enhance Performance if assessed.
  - o The question addresses an issue that **is relevant to Training Units** and is essential for improving performance levels in the unit.

The South African Excellence Model

The columns provided for Self-assessment of your unit **must not be answered** as part of this survey.
These are only attached to provide you with more clarity as to how the criteria are assessed.

Units may use these columns at a later stage to internally conduct a self-assessment of their Performance Excellence. In this case assistance could be provided in order to calculate the scores.

Customer and Stakeholder Focus Questions	FORMULATION OF THE QUESTION			RELEVANCE TO TRAINING UNITS			SAEM EVALUATION (For Info only)			
	0 ⇩	1 ⇩	2 ⇩	0 ⇩	1 ⇩	2 ⇩	0 ⇩	1 ⇩	2 ⇩	3 ⇩
For each question below, consider the: • Formulation of the question and • Relevance of this question to determine the Performance Excellence of a Training Unit. Mark your response with a √ in the selected block.	Bad	Acceptable but needs minor improvement.	Good and clear.	Not relevant to Training units	Some relevance to Training units	Very relevant to Training units	Not Standard	Some progress	Good progress	Fully achieved
3a. How customer and stakeholder needs are determined and used. 3a.1 Does my unit implement an approach of listening to, and learning from customers and stakeholders?										
3a.2 Does my unit use reliable methods to gather information from all its customers and stakeholders (e.g. surveys, questionnaires or interviews)?										
3a.3 Does my unit communicate Customer and Stakeholder needs to all members?										
3a.4 Does my unit evaluate, process and act on information received?										
3a.5 Does my unit determine and review customer and stakeholder contact requirements and communicate these requests to all employees?										
3b How customer and stakeholder satisfaction is determined. 3b.1 Does my unit implement methods to determine Stakeholder satisfaction with the outcomes of training presented?										
3b.2 Does my unit implement methods to determine prompt and actionable feedback from learners on training related issues?										

Customer and Stakeholder Focus Questions	FORMULATION OF THE QUESTION			RELEVANCE TO TRAINING UNITS			SAEM EVALUATION (For Info only)			
	0 ⇩	1 ⇩	2 ⇩	0 ⇩	1 ⇩	2 ⇩	0 ⇩	1 ⇩	2 ⇩	3 ⇩
For each question below, consider the: • Formulation of the question and • Relevance of this question to determine the Performance Excellence of a Training Unit. Mark your response with a √ in the selected block.	Bad	Acceptable but needs minor improvement.	Good and clear.	Not relevant to Training units	Some relevance to Training units	Very relevant to Training units	Not Standard	Some progress	Good progress	Fully achieved
3b.3 Does my unit resolve stakeholder and customer complaints promptly and effectively?										

Are there any other issues related to assessing the criterion "Customer and Stakeholder Focus" that you believe should be assessed in order to enhance Performance in a Training Unit?

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Criterion 4   PEOPLE MANAGEMENT   (SAEM: 23 Points / 9.2%)

<u>**SAEF Definition of People Management**</u>:
How the organisation develops and releases the full potential of its people.

Guidelines for Self-Assessment of People Management in a Training Unit
- For the purpose of the assessment of this criterion, the management of all members at all levels in the unit must be included in the assessment.

People Management Questions
For each question below, provide the following two responses:

- **Formulation of the Question**. Mark in the three columns provided whether you are of the opinion that:
    - The formulation of the question is bad and confusing.
    - The formulation of the question is acceptable but needs minor improvement.
    - The formulation of the question is good and gives a clear description of what is required from a respondent.

- **Relevance to Training Units**. Mark in the three columns provided whether your perception is:

o That the question addresses an issue that **is not relevant to Training Units** and should not be addressed when assessing the level of Performance Excellence in the unit.
o The question addresses an issue that **has some relevance to Training Units** and could possibly enhance Performance if assessed.
o The question addresses an issue that **is relevant to Training Units** and is essential for improving performance levels in the unit.

The South African Excellence Model

The columns provided for Self-assessment of your unit **must not be answered** as part of this survey.
These are only attached to provide you with more clarity as to how the criteria are assessed.
Units may use these columns at a later stage to internally conduct a self-assessment of their Performance Excellence. In this case assistance could be provided in order to calculate the scores.

People Management Questions	**FORMULATION OF THE QUESTION**			**RELEVANCE TO TRAINING UNITS**			**SAEM EVALUATION** (For Info only)			
	0 ⇩	1 ⇩	2 ⇩	0 ⇩	1 ⇩	2 ⇩	0 ⇩	1 ⇩	2 ⇩	3 ⇩
For each question below, consider the: • Formulation of the question and • Relevance of this question to determine the Performance Excellence of a Training Unit. Mark your response with a √ in the selected block.	Bad.	Acceptable but needs minor improvement.	Good and clear.	Not relevant to Training units	Some relevance to Training units	Very relevant to Training units	Not Standard	Some progress	Good progress	Fully achieved
4a. **How people capabilities are developed and reviewed.** 4a.1 Does my unit align the people resources plan with policy, strategy and key values of the unit?										
4a.2 Does my unit have an orientation plan for new employees?										
4a.3 Does my unit develop people by utilizing their work experience?										

People Management Questions	FORMULATION OF THE QUESTION			RELEVANCE TO TRAINING UNITS			SAEM EVALUATION (For Info only)			
	0 ⇩	1 ⇩	2 ⇩	0 ⇩	1 ⇩	2 ⇩	0 ⇩	1 ⇩	2 ⇩	3 ⇩
For each question below, consider the: • Formulation of the question and • Relevance of this question to determine the Performance Excellence of a Training Unit. Mark your response with a √ in the selected block.	Bad.	Acceptable but needs minor improvement.	Good and clear.	Not relevant to Training units	Some relevance to Training units	Very relevant to Training units	Not Standard	Some progress	Good progress	Fully achieved
4a.4 Does my unit budget for formal training courses for members?										
4a.5 Does my unit provide members with the opportunities to attend lectures, seminars or symposia?										
4a.6 Does my unit acknowledge and manage cultural diversity within its workforce?										
4b **How people are involved, empowered and recognition is ensured.** 4b.1 Does my unit involve all of its people (as individuals and teams) in continuous improvement activities?										
4b.2 Does my unit empower and encourage people to be creative and take personal action?										
4b.3 Does my unit evaluate the effectiveness of the actions taken by unit members?										
4b.4 Does my unit achieve effective up, down and lateral communication?										
4b.5 Does my unit design and apply innovative recognition systems to sustain involvement, empowerment and achievement?										

People Management Questions	FORMULATION OF THE QUESTION			RELEVANCE TO TRAINING UNITS			SAEM EVALUATION (For Info only)			
	0 ⇩	1 ⇩	2 ⇩	0 ⇩	1 ⇩	2 ⇩	0 ⇩	1 ⇩	2 ⇩	3 ⇩
For each question below, consider the: • Formulation of the question and • Relevance of this question to determine the Performance Excellence of a Training Unit. Mark your response with a √ in the selected block.	Bad.	Acceptable but needs minor improvement.	Good and clear.	Not relevant to Training units	Some relevance to Training units	Very relevant to Training units	Not Standard	Some progress	Good progress	Fully achieved
4c **How people are cared for.** 4c.1 Does the unit include well-being factors like health and safety measures in its improvement activities?										
4c.2 Does my unit apply support systems for members in crisis situations?										

Are there any other issues related to assessing the criterion "People Management" that you believe should be assessed in order to enhance Performance in a Training Unit?

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Criterion 5   RESOURCES AND INFORMATION MANAGEMENT (SAEM: 15 Points / 6%)

SAEF Definition of Resources and Information Management:

How the organisation manages and uses resources and information effectively and efficiently.

Guidelines For Self-Assessment of Resources and Information Management in a Training Unit
- "Financial Resources Management" will include budgeting and expenditure actions.
- "Information Resources" will include relevant information obtained by experience, research, benchmarking etc. as well as Human Intellectual Management.
- "Material Resources" will include all logistical matters and actions.

Resources and Information Management Questions
For each question below, provide the following two responses:

- **Formulation of the Question**. Mark in the three columns provided whether you are of the opinion that:
    - The formulation of the question is bad and confusing.
    - The formulation of the question is acceptable but needs minor improvement.
    - The formulation of the question is good and gives a clear description of what is required from a respondent.

- **Relevance to Training Units**. Mark in the three columns provided whether your perception is:
    - That the question addresses an issue that **is not relevant to Training Units** and should not be addressed when assessing the level of Performance Excellence in the unit.
    - The question addresses an issue that **has some relevance to Training Units** and could possibly enhance Performance if assessed.
    - The question addresses an issue that **is relevant to Training Units** and is essential for improving performance levels in the unit.

The South African Excellence Model

The columns provided for Self-assessment of your unit **must not be answered** as part of this survey.
These are only attached to provide you with more clarity as to how the criteria are assessed.
Units may use these columns at a later stage to internally conduct a self-assessment of their Performance Excellence. In this case assistance could be provided in order to calculate the scores.

	FORMULATION OF THE QUESTION	RELEVANCE TO TRAINING UNITS	SAEM EVALUATION (For Info only)

Resources and Information Management Questions	0 ⇩ Bad.	1 ⇩ Acceptable but needs minor improvement.	2 ⇩ Good and clear.	0 ⇩ Not relevant to Training units	1 ⇩ Some relevance to Training units	2 ⇩ Very relevant to Training units	0 ⇩ Not Standard	1 ⇩ Some progress	2 ⇩ Good progress	3 ⇩ Fully achieved
For each question below, consider the: • Formulation of the question and • Relevance of this question to determine the Performance Excellence of a Training Unit. Mark your response with a √ in the selected block.										
5a. **How financial resources are managed.** 5a.1 Does my unit use financial management in support of DOD policy and strategy?										
5a.2 Does my unit meet the requirements or prescripts of the Department of Defence's Financial Management System?										
5a.3 Does my unit ensure that financial parameters within the unit's business plans are met?										
5a.4 Does my unit employ budget control mechanisms and regularly review the unit's performance against budget?										
5b **How information resources are managed.** 5b.1 Does my unit structure and manage information to support policy and strategy (e.g. SOP's, directives or routines)?										
5b.2 Does my unit evaluate and keep current with changing customer and stakeholder needs?										
5b.3 Does my unit employ opportunities to gain new knowledge (courses, seminars etc.) or create new knowledge (research and initiatives) that would ensure improved training and development?										
5b.4 Does my unit employ mechanisms to ensure that information is transferred or communicated to all members in the unit?										

Resources and Information Management Questions	FORMULATION OF THE QUESTION			RELEVANCE TO TRAINING UNITS			SAEM EVALUATION (For Info only)			
	0 ⇩	1 ⇩	2 ⇩	0 ⇩	1 ⇩	2 ⇩	0 ⇩	1 ⇩	2 ⇩	3 ⇩
For each question below, consider the: • Formulation of the question and • Relevance of this question to determine the Performance Excellence of a Training Unit. Mark your response with a √ in the selected block.	Bad.	Acceptable but needs minor improvement.	Good and clear.	Not relevant to Training units	Some relevance to Training units	Very relevant to Training units	Not Standard	Some progress	Good progress	Fully achieved
5c **How comparative information and data are selected and used.** 5c.1 Does my unit determine the needs and priorities for comparative information or benchmarks?										
5c.2 Does my unit seek sources of comparative information and data from within and outside the DOD?										
5c.3 Does my unit use benchmarks and comparative information to encourage performance improvement?										
5d **How partnering and supplier relationships and materials are managed.** 5d.1 Does my unit improve supplier and partner relationships?										
5d.2 Does my unit plan in order to enhance supplier and partner knowledge of the unit's needs and ability to respond to these needs?										
5d.3 Does my unit address the consumption of utilities in order to reduce or recycle waste?										
5d.4 Does my unit manage and optimise material inventories?										
5e **How buildings, equipment and other assets are managed.** 5e.1 Does my unit make best use of buildings, vehicles, equipment and other resources?										

Resources and Information Management Questions	FORMULATION OF THE QUESTION			RELEVANCE TO TRAINING UNITS			SAEM EVALUATION (For Info only)			
	0 ⇓	1 ⇓	2 ⇓	0 ⇓	1 ⇓	2 ⇓	0 ⇓	1 ⇓	2 ⇓	3 ⇓
For each question below, consider the: • Formulation of the question and • Relevance of this question to determine the Performance Excellence of a Training Unit. Mark your response with a √ in the selected block.	Bad.	Acceptable but needs minor improvement.	Good and clear.	Not relevant to Training units	Some relevance to Training units	Very relevant to Training units	Not Standard	Some progress	Good progress	Fully achieved
5e.2 Does my unit consider the impact of its assests or equipment on the community or employees (e.g. health and safety)?										
5e.3 Does my unit manage the security of assets effectively?										
5f **How technology and intellectual property are managed.** 5f.1 Does my unit identify, evaluate and use alternative and emerging technologies?										
5f.2 Does my unit exploit all available existing technologies?										

Are there any other issues related to assessing the criterion "Resources and Information Management " that you believe should be assessed in order to enhance Performance in a Training Unit?

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Criterion 6   PROCESSES   (SAEM :30 Points / 12%)

SAEF Definition of the criterion Processes
How the organisation identifies and improves its activities and processes.

Guidelines For Self-Assessment of Processes in a Training Unit
- "Processes" will include the processes, SOPs, directives, routines or guidelines utilized in the executing of activities in the unit.
- Processes for Quality Provision of ETD must be based on the guidelines provided by SAQA and the ETDQA.
- Internal processes will also be based on guidelines or policy prescribed by the unit's higher authority within the DOD.

Processes Questions
For each question below, provide the following two responses:
- **Formulation of the Question**. Mark in the three columns provided whether you are of the opinion that:
    - o The formulation of the question is bad and confusing.
    - o The formulation of the question is acceptable but needs minor improvement.
    - o The formulation of the question is good and gives a clear description of what is required from a respondent.
- **Relevance to Training Units**. Mark in the three columns provided whether your perception is:
    - o That the question addresses an issue that **is not relevant to Training Units** and should not be addressed when assessing the level of Performance Excellence in the unit.
    - o The question addresses an issue that **has some relevance to Training Units** and could possibly enhance Performance if assessed.
    - o The question addresses an issue that **is relevant to Training Units** and is essential for improving performance levels in the unit.

The South African Excellence Model

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These are only attached to provide you with more clarity as to how the criteria are assessed.
Units may use these columns at a later stage to internally conduct a self-assessment of their Performance Excellence. In this case assistance could be provided in order to calculate the scores.

	FORMULATION OF THE QUESTION	RELEVANCE TO TRAINING UNITS	SAEM EVALUATION (For Info only)

Processes Questions	0 ⇩	1 ⇩	2 ⇩	0 ⇩	1 ⇩	2 ⇩	0 ⇩	1 ⇩	2 ⇩	3 ⇩
For each question below, consider the: • Formulation of the question and • Relevance of this question to determine the Performance Excellence of a Training Unit. Mark your response with a √ in the selected block.	Bad.	Acceptable but needs minor improvement.	Good and clear.	Not relevant to Training units	Some relevance to Training units	Very relevant to Training units	Not Standard	Some progress	Good progress	Fully achieved
6a. **How Processes are identified and systematically managed.** 6a.1 Does my unit identify the key processes (e.g. the ETD process) and sub-processes that would have significant impact on results?										
6a.2 Does my unit incorporate changing customer and stakeholder requirements and educational technologies into training and service processes?										
6a.3 Does my unit incorporate changing legislative requirements and procedures (e.g. ETDQA) into training and service processes?										
6a.4 Does my unit design training and other service delivery processes to meet quality standards and operational performance requirements?										
6a.5 Does my unit establish process ownership, responsibility and accountability within all members of the unit?										
6a.6 Does my unit use established systems (e.g. SAQA or ETD SETA) in process management?										
6a.7 Does my unit use quality, environmental and health and safety systems in process management?										
6b **How processes are reviewed and targets are set for improvement.** 6b.1 Does my unit continuously identify and prioritise methods of process improvement, both small and revolutionary changes?										

Processes Questions	FORMULATION OF THE QUESTION			RELEVANCE TO TRAINING UNITS			SAEM EVALUATION (For Info only)			
	0 ⇩	1 ⇩	2 ⇩	0 ⇩	1 ⇩	2 ⇩	0 ⇩	1 ⇩	2 ⇩	3 ⇩
For each question below, consider the: • Formulation of the question and • Relevance of this question to determine the Performance Excellence of a Training Unit. Mark your response with a √ in the selected block.	Bad.	Acceptable but needs minor improvement.	Good and clear.	Not relevant to Training units	Some relevance to Training units	Very relevant to Training units	Not Standard	Some progress	Good progress	Fully achieved
6b.2 Does my unit encourage the innovative and creative talents of employees in process improvement?										
6b.3 Does my unit manage and support the implementation of process changes through testing, communication and review?										

Are there any other issues related to assessing the criterion "Processes" that you believe should be assessed in order to enhance Performance in a Training Unit?

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Criterion 7   SOCIAL RESPONSIBILITY (SAEM : 15 Points / 6%)

SAEF Definition of Social Responsibility:

How the organisation is achieving in satisfying the needs and the expectations of the local community.

Guidelines For Self-Assessment of "Social Responsibility" in a Training Unit

- For the assessment of Social Responsibility, trends must be supported by evidence and numbers.
- The following are important to remember:
  o The effect on the quality of live of local communities.
  o Support or assistance to local communities.
  o Environmental and conservation issues.
  o Relations with authorities and bodies that regulate the unit's core business (e.g. SAQA, ETDQA, DIDTETA etc.)

Social Responsibility Questions

For each question below, provide the following two responses:

- **Formulation of the Question**. Mark in the three columns provided whether you are of the opinion that:
  o The formulation of the question is bad and confusing.
  o The formulation of the question is acceptable but needs minor improvements.
  o The formulation of the question is good and gives a clear description of what is required from a respondent.
- **Relevance to Training Units**. Mark in the three columns provided whether your perception is:
  o That the question addresses an issue that **is not relevant to Training Units** and should not be addressed when assessing the level of Performance Excellence in the unit.
  o The question addresses an issue that **has some relevance to Training Units** and could possibly enhance Performance if assessed.
  o The question addresses an issue that **is relevant to Training Units** and is essential for improving performance levels in the unit.

The South African Excellence Model

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	FORMULATION OF THE QUESTION	RELEVANCE TO TRAINING UNITS	SAEM EVALUATION (For Info only)

Social Responsibility Questions	0 ⇩	1 ⇩	2 ⇩	0 ⇩	1 ⇩	2 ⇩	0 ⇩	1 ⇩	2 ⇩	3 ⇩
For each question below, consider the: • Formulation of the question and • Relevance of this question to determine the Performance Excellence of a Training Unit. Mark your response with a √ in the selected block.	Bad	Acceptable but needs minor improvements	Good and clear	Not relevant to Training units	Some relevance to Training units	Very relevant to Training units	Not Standard	Some progress	Good progress	Fully achieved
7a. **Measurement of the unit's impact on the society.** 7a.1 Does my unit have results that show, trends in relation to improved performance as a responsible government authority? For example in the fields of: • Contribution to development and nation building. • Equal opportunity practice and/or • Sound relations with national authorities.										
7a.2 Does my unit have results that show trends in relation to promoting the quality of life within the community by the unit's involvement in outreach initiatives? Examples could be: • Medical or welfare assistance • Sport or recreation initiatives • Voluntary work and assistance by unit members.										
7a.3 Does my unit have results that show trends in relation to conservation of resources and the environment? Examples could be: • Ecological impact, • Optimization of energy or water consumption and/or, • The reduction, recycle or re-use of waste materials.										
7a.4 Does my unit have results that show trends in relation to receiving departmental or national accolades or awards?										

Are there any other issues related to assessing the criterion "Social Responsibility" that you believe should be assessed in order to enhance Performance in a Training Unit?

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Criterion 8   CUSTOMER AND STAKEHOLDER SATISFACTION (SAEM : 43 Points / 17.2%)

SAEF Definition of the criterion Customer And Stakeholder Satisfaction :
What the organisation is achieving in relation to the satisfaction of its external customers and stakeholders.

Guidelines For Self-Assessment of Customer and Stakeholder Satisfaction in a Training Unit
- The assessments of Customer and Stakeholder Satisfaction must be supported by evidence and numbers.
- Higher authority that mandate or require the training done at your unit, must be interpreted as "stakeholders".
- Learners or students are the unit's "customers" or clients.
- Adherence to prescribed doctrine, policies and instructions from higher authorities, will improve stakeholder satisfaction.

Customer and Stakeholder Satisfaction Questions

For each question below, provide the following two responses:

- **Formulation of the Question**. Mark in the three columns provided whether you are of the opinion that:
  - o The formulation of the question is bad and confusing.
  - o The formulation of the question is acceptable but needs minor improvements.
  - o The formulation of the question is good and gives a clear description of what is required from a respondent.
- **Relevance to Training Units**. Mark in the three columns provided whether your perception is:
  - o That the question addresses an issue that **is not relevant to Training Units** and should not be addressed when assessing the level of Performance Excellence in the unit.
  - o The question addresses an issue that **has some relevance to Training Units** and could possibly enhance Performance if assessed.
  - o The question addresses an issue that **is relevant to Training Units** and is essential for improving performance levels in the unit.

The South African Excellence Model

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Units may use these columns at a later stage to internally conduct a self-assessment of their Performance Excellence. In this case assistance could be provided in order to calculate the scores.

	FORMULATION OF THE QUESTION			RELEVANCE TO TRAINING UNITS			SAEM EVALUATION (For Info only)			
Customer and Stakeholder Satisfaction Questions	0 ⇩	1 ⇩	2 ⇩	0 ⇩	1 ⇩	2 ⇩	0 ⇩	1 ⇩	2 ⇩	3 ⇩
For each question below, consider the: • Formulation of the question and • Relevance of this question to determine the Performance Excellence of a Training Unit. Mark your response with a √ in the selected block.	Bad	Acceptable but needs minor improvements	Good and clear	Not relevant to Training units	Some relevance to Training units	Very relevant to Training units	Not Standard	Some progress	Good progress	Fully achieved

Customer and Stakeholder Satisfaction Questions	FORMULATION OF THE QUESTION			RELEVANCE TO TRAINING UNITS			SAEM EVALUATION (For Info only)			
	0 ⇩	1 ⇩	2 ⇩	0 ⇩	1 ⇩	2 ⇩	0 ⇩	1 ⇩	2 ⇩	3 ⇩
For each question below, consider the: • Formulation of the question and • Relevance of this question to determine the Performance Excellence of a Training Unit. Mark your response with a √ in the selected block.	Bad	Acceptable but needs minor improvements	Good and clear	Not relevant to Training units	Some relevance to Training units	Very relevant to Training units	Not Standard	Some progress	Good progress	Fully achieved
8a. **Measurements relating to the satisfaction of the unit's stakeholders.** 8a.1 Does my unit have results or data that show trends of good relations with higher authorities (stakeholders) in relation to improved overall image of the unit?										
8a.2 Does my unit have results or data that show trends in relation to improved stakeholder satisfaction with training provided?										
8a.3 Does my unit have results or data that show trends in good communication with stakeholders?										
8a.4 Does my unit have results or data that show trends in relation to improved responsiveness and flexibility in meeting changing stakeholder requirements?										
8a.5 Does my unit have results or data that show trends in relation to relevance and sustainability of training provided?										
8a.6 Does my unit have results or data that show trends in relation to pro-active behaviour and recommendations to stakeholders?										
8a.7 Does my unit have results or data that show trends in relation to improved documentation and report mechanism for training results?										

Customer and Stakeholder Satisfaction Questions	FORMULATION OF THE QUESTION			RELEVANCE TO TRAINING UNITS			SAEM EVALUATION (For Info only)			
	0 ⇩	1 ⇩	2 ⇩	0 ⇩	1 ⇩	2 ⇩	0 ⇩	1 ⇩	2 ⇩	3 ⇩
For each question below, consider the: • Formulation of the question and • Relevance of this question to determine the Performance Excellence of a Training Unit. Mark your response with a √ in the selected block.	Bad	Acceptable but needs minor improvements	Good and clear	Not relevant to Training units	Some relevance to Training units	Very relevant to Training units	Not Standard	Some progress	Good progress	Fully achieved
8b. **Measurements relating to the satisfaction of the unit's customers.** 8b.1 Does my unit employ effective methods (surveys, questionnaires etc.) to determine learner's perception and satisfaction or dissatisfaction of the training and services provided?										
8b.2 Does my unit have results or data that show the level of customer satisfaction or dissatisfaction?										
8b.3 Does my unit have results or data that show learners' perception of the quality of course or module design?										
8b.4 Does my unit have results or data that show learners' perception of the quality of instruction or facilitation?										
8b.5 Does my unit have results or data that show learners' perception of the quality of course administration?										
8b.6 Does my unit have results or data that show learners' perception of the quality of course material, documentation or technical resources?										
8b.7 Does my unit have results or data that show learners' perception of the quality of how complaints are addressed?										
8b.8 Does my unit have results or data that show trends in relation to improved overall image in terms of integrity, fairness and courtesy of instructors or facilitators?										

Customer and Stakeholder Satisfaction Questions	FORMULATION OF THE QUESTION			RELEVANCE TO TRAINING UNITS			SAEM EVALUATION (For Info only)			
	0 ⇩	1 ⇩	2 ⇩	0 ⇩	1 ⇩	2 ⇩	0 ⇩	1 ⇩	2 ⇩	3 ⇩
For each question below, consider the: • Formulation of the question and • Relevance of this question to determine the Performance Excellence of a Training Unit. Mark your response with a √ in the selected block.	Bad	Acceptable but needs minor improvements	Good and clear	Not relevant to Training units	Some relevance to Training units	Very relevant to Training units	Not Standard	Some progress	Good progress	Fully achieved
8c. **Measurements relating to training and services.** 8c1 Does my unit have results or data that show the stakeholders' and customers' perception of the quality of training provided?										
8c.2 Does my unit have results or data that show learners' perception of the accessibility to training at the unit?										
8c.3 Does my unit have results or data that show trends of innovation in training and facilitation approaches?										
8c.4 Does my unit have results or data that show stakeholders' and customers' perception of the relevance and need of the training provided at the unit?										
8c.5 Does my unit have results or data that show the improvement of skills, capabilities and behaviour of trained customers in their working environment?										
8c.6 Does my unit have results or data that show the numbers of learners successfully completing distance education or On-the-Job training modules?										
8c.7 Does my unit have results or data that show trends in evaluating, reviewing and updating training in a changing working environment?										
8c.8 Does my unit present training that is accredited by legislative authorities (e.g. SAQA) or is the unit in a process of seeking accreditation?										

Are there any other issues related to assessing the criterion "Customer and Stakeholder Satisfaction" that you believe should be assessed in order to enhance Performance in a Training Unit?

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Criterion 9   PEOPLE SATISFACTION   (SAEM : 22 Points / 8.8%)

SAEF Definition of the criterion People Satisfaction:
What the organisation is achieving in relation to the satisfaction of its people.

Guidelines For Self-Assessment of People Satisfaction in a Training Unit
- When assessing this criterion, the satisfaction of all the members staffed in your unit must be determined.
- The satisfaction of learners, partners and other role players must not be assessed as part of this criterion.

People Satisfaction Questions

For each question below, provide the following two responses:
- **Formulation of the Question**. Mark in the three columns provided whether you are of the opinion that:
  - The formulation of the question is bad and confusing.
  - The formulation of the question is acceptable but needs minor improvements.
  - The formulation of the question is good and gives a clear description of what is required from a respondent.
- **Relevance to Training Units**. Mark in the three columns provided whether your perception is:
  - That the question addresses an issue that **is not relevant to Training Units** and should not be addressed when assessing the level of Performance Excellence in the unit.
  - The question addresses an issue that **has some relevance to Training Units** and could possibly enhance Performance if assessed.
  - The question addresses an issue that **is relevant to Training Units** and is essential for improving performance levels in the unit.

The South African Excellence Model

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Units may use these columns at a later stage to internally conduct a self-assessment of their Performance Excellence. In this case assistance could be provided in order to calculate the scores.

People Satisfaction Questions	FORMULATION OF THE QUESTION			RELEVANCE TO TRAINING UNITS			SAEM EVALUATION (For Info only)			
	0 ⇩	1 ⇩	2 ⇩	0 ⇩	1 ⇩	2 ⇩	0 ⇩	1 ⇩	2 ⇩	3 ⇩
For each question below, consider the: • Formulation of the question and • Relevance of this question to determine the Performance Excellence of a Training Unit. Mark your response with a √ in the selected block.	Bad	Acceptable but needs minor improvements	Good and clear	Not relevant to Training units	Some relevance to Training units	Very relevant to Training units	Not Standard	Some progress	Good progress	Fully achieved
9a. **Measurements relating to the motivation of the unit's people.** 9a.1 Does my unit have results or data that show trends in relation to the motivation of its people?										
9a.2 Does my unit have results or data that show trends in relation to personal target setting and improved performance by members of the unit?										
9a.3 Does my unit have results or data that show trends in relation to ensuring a safe and pleasant working environment?										
9a.4 Does my unit have results or data that show trends in relation to the ethical conduct of members by adhering to the key values of the unit?										
9a.5 Does my unit have results or data that show trends in relation the implementation of equal opportunities to members in the unit?										
9a.6 Does my unit have results or data that show trends in relation to the provision of training and development opportunities to all members in the unit?										
9a.7 Does my unit have results or data that show trends in relation to the recognition and appreciation of individuals and teams?										
9a.8 Does my unit have results or data that show, trends in relation to the involvement and empowerment of all members in the unit?										

People Satisfaction Questions	FORMULATION OF THE QUESTION			RELEVANCE TO TRAINING UNITS			SAEM EVALUATION (For Info only)			
	0 ⇩	1 ⇩	2 ⇩	0 ⇩	1 ⇩	2 ⇩	0 ⇩	1 ⇩	2 ⇩	3 ⇩
For each question below, consider the: • Formulation of the question and • Relevance of this question to determine the Performance Excellence of a Training Unit. Mark your response with a √ in the selected block.	Bad	Acceptable but needs minor improvements	Good and clear	Not relevant to Training units	Some relevance to Training units	Very relevant to Training units	Not Standard	Some progress	Good progress	Fully achieved
9b **Measurements relating to the satisfaction of the unit's people.** 9b.1 Does my unit have results or data that show trends in relation to the satisfaction and well-being of its people?										
9b.2 Does my unit have results or data that show trends of a decrease in unjustified absenteeism?										
9b.3 Does my unit have results or data that show trends in relation to successfully addressing any grievances of members?										
9b.4 Does my unit have results or data that show trends in relation to a acceptable staff turnover?										
9b.5 Does my unit have results or data that show trends in relation to the use of recreational or other facilities provided by the unit?										
9b.6 Does my unit have results or data that show trends in relation to good relations between members of the unit?										
9b.7 Does my unit have results or data that show trends in relation to the members' satisfaction with the management of change in the unit?										
9b.8 Does my unit have results or data that show trends in relation to the members' satisfaction with regard to the unit's environmental policy?										

People Satisfaction Questions	FORMULATION OF THE QUESTION				RELEVANCE TO TRAINING UNITS				SAEM EVALUATION (For Info only)			
	0 ⇩	1 ⇩	2 ⇩		0 ⇩	1 ⇩	2 ⇩		0 ⇩	1 ⇩	2 ⇩	3 ⇩
For each question below, consider the: • Formulation of the question and • Relevance of this question to determine the Performance Excellence of a Training Unit. Mark your response with a √ in the selected block.	Bad	Acceptable but needs minor improvements	Good and clear		Not relevant to Training units	Some relevance to Training units	Very relevant to Training units		Not Standard	Some progress	Good progress	Fully achieved
9b.9 Does my unit have results or data that show trends in relation to the unit members' satisfaction with the unit's role in the community and society?												
9c **Measurements relating to the satisfaction of the unit's people with services provided.** 9c.1 Does my unit have results or data that show trends in relation to unit members' satisfaction with the accuracy and efficiency of personnel administration?												
9c.2 Does my unit have results or data that show trends in relation to unit members' satisfaction with the communication mechanisms within the unit?												
9c.3 Does my unit have results or data that show trends in relation to unit members' satisfaction with the speed of response to enquiries within the unit?												
9c.4 Does my unit have results or data that show trends in relation to unit members' satisfaction with the availability of resources within the unit?												

Are there any other issues related to assessing the criterion "People Satisfaction" that you believe should be assessed in order to enhance Performance in a Training Unit?

Criterion 10: SUPPLIERS AND PARTNERSHIP PERFORMANCE (SAEM : 7 Points / 2.8%)

SAEF Definition of the criterion Suppliers and Partnership Performance :
What the organisation is achieving in relation to the management of supplier and partnership processes**.**

Guidelines For Self-Assessment of Suppliers and Partnership Performance in a Training Unit

- "Suppliers" will all parties that render a service to the unit in order to logistically support all activities or sustain the operational function within the unit.
- "Partners" could include all parties that assist, cooperate or aid the unit in reaching its goals and objectives.
- The actions or performance excellence of these suppliers or partners must not be assessed in isolation but rather the actions and efforts of your unit in managing and improving services rendered by these parties.

Suppliers and Partnership Performance Questions
For each question below, provide the following two responses:

- **Formulation of the Question**. Mark in the three columns provided whether you are of the opinion that:
    - o The formulation of the question is bad and confusing.
    - o The formulation of the question is acceptable but needs minor improvements.
    - o The formulation of the question is good and gives a clear description of what is required from a respondent.
- **Relevance to Training Units**. Mark in the three columns provided whether your perception is:
    - o That the question addresses an issue that **is not relevant to Training Units** and should not be addressed when assessing the level of Performance Excellence in the unit.
    - o The question addresses an issue that **has some relevance to Training Units** and could possibly enhance Performance if assessed.
    - o The question addresses an issue that **is relevant to Training Units** and is essential for improving performance levels in the unit.

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Units may use these columns at a later stage to internally conduct a self-assessment of their Performance Excellence. In this case assistance could be provided in order to calculate the scores.

Suppliers and Partnership Performance Questions	**FORMULATION OF THE QUESTION**			**RELEVANCE TO TRAINING UNITS**			**SAEM EVALUATION (For Info only)**			
	0 ⇩	1 ⇩	2 ⇩	0 ⇩	1 ⇩	2 ⇩	0 ⇩	1 ⇩	2 ⇩	3 ⇩
For each question below, consider the: • Formulation of the question and • Relevance of this question to determine the Performance Excellence of a Training Unit. Mark your response with a √ in the selected block.	Bad	Acceptable but needs minor improvements	Good and clear	Not relevant to Training units	Some relevance to Training units	Very relevant to Training units	Not Standard	Some progress	Good progress	Fully achieved
10. **Measurement relating to the performance of the unit's s suppliers and partners.** 10.1 Does my unit have results or data that show suppliers' and partners' perception of the integrity of my unit?										
10.2 Does my unit have results or data that show suppliers' and partners' perception of the current levels of training and service delivery?										
10.3 Does my unit have results or data that show suppliers' and partners' perception of the reliability of my unit?										
10.4 Does my unit have results or data that show that all relevant service agreements are in place?										
10.5 Does my unit have results or data that show indicators of suppliers' and partners' performance levels?										
10.6 Does my unit have results or data that show trends in determining indicators of supplier and partner performance levels?										
10.7 Does my unit have results or data that show trends in determining the value of partner relationships?										
10.8 Does my unit have results or data that show trends in cost reduction and more effective training due to performance assessments or audits?										

Suppliers and Partnership Performance Questions	FORMULATION OF THE QUESTION			RELEVANCE TO TRAINING UNITS			SAEM EVALUATION (For Info only)			
	0 ⇩	1 ⇩	2 ⇩	0 ⇩	1 ⇩	2 ⇩	0 ⇩	1 ⇩	2 ⇩	3 ⇩
For each question below, consider the: • Formulation of the question and • Relevance of this question to determine the Performance Excellence of a Training Unit. Mark your response with a √ in the selected block.	Bad	Acceptable but needs minor improvements	Good and clear	Not relevant to Training units	Some relevance to Training units	Very relevant to Training units	Not Standard	Some progress	Good progress	Fully achieved
10.9 Does my unit have results or data that show trends in improved training due to suppliers' or partners' service delivery?										
10.10 Does my unit have results or data that show trends in enhancement of supplier and partner knowledge of your unit's actions and plans?										
10.11 Does my unit have results or data that show trends in continuous improvement in quality of training and service delivery?										
10.12 Does my unit have results or data that show trends in the ability to respond to greater organisational needs?										
10.13 Does my unit have results or data that show trends in speed of response to customer complaints?										
10.14 Does my unit have results or data that show trends in added value of partnerships?										
10.15 Does my unit have results or data that show trends in application of equity principles in its employment practices etc.?										

Are there any other issues related to assessing the criterion "Suppliers and Partnership Performance" that you believe should be assessed in order to enhance Performance in a Training Unit?

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Criterion 11:   ORGANISATIONAL RESULTS   (SAEM : 38 Points / 15.2%)

SAEF Definition of the criterion Organisational Results:
What the organisation is achieving in relation to its planned organisation objectives and in satisfying the needs and expectations of every one with a financial interest or other stake in the organisation.

Guidelines For Self-Assessment of Organisational Results in a Training Unit
- The assessment of this criterion will be based on the evidence presented for the assessment of all the "Results Criteria" (Criteria 7 to 10).
- Financial Measurements will include Financial Management, Budget and Expenditure matters within the unit.
- The results criteria are concerned with what the unit has achieved and is achieving. This will be done by assessing the degree of excellence of results as well as the scope of results.

Organisational Results Questions
For each question below, provide the following two responses:

- **Formulation of the Question**. Mark in the three columns provided whether you are of the opinion that:
  - The formulation of the question is bad and confusing.
  - The formulation of the question is acceptable but needs minor improvements.
  - The formulation of the question is good and gives a clear description of what is required from a respondent.
- **Relevance to Training Units**. Mark in the three columns provided whether your perception is:
  - That the question addresses an issue that **is not relevant to Training Units** and should not be addressed when assessing the level of Performance Excellence in the unit.
  - The question addresses an issue that **has some relevance to Training Units** and could possibly enhance Performance if assessed.
  - The question addresses an issue that **is relevant to Training Units** and is essential for improving performance levels in the unit.

The South African Excellence Model

The columns provided for Self-assessment of your unit **must not be answered** as part of this survey.
These are only attached to provide you with more clarity as to how the criteria are assessed.
Units may use these columns at a later stage to internally conduct a self-assessment of their Performance Excellence. In this case assistance could be provided in order to calculate the scores.

Organisational Results Questions	FORMULATION OF THE QUESTION			RELEVANCE TO TRAINING UNITS			SAEM EVALUATION (For Info only)			
	0 ⇩	1 ⇩	2 ⇩	0 ⇩	1 ⇩	2 ⇩	0 ⇩	1 ⇩	2 ⇩	3 ⇩
For each question below, consider the: • Formulation of the question and • Relevance of this question to determine the Performance Excellence of a Training Unit. Mark your response with a √ in the selected block.	Bad	Acceptable but needs minor improvements	Good and clear	Not relevant to Training units	Some relevance to Training units	Very relevant to Training units	Not Standard	Some progress	Good progress	Fully achieved
11a. **Financial measurements of the unit's performance.** 11a.1 Does my unit have results or data that show trends in performance against the unit's business plan?										
11a.2 Does my unit have results or data that show trends in balance sheet items such as in-time expenditure patterns?										
11a.3 Does my unit have results or data that show trends in cash flow items including committed expenditures or corrective actions taken?										
11b. **Additional measurements of the Unit's performance** 11b.1 Does my unit have results or data that show trends in continuous overall performance improvement relating to services delivery?										
11b.2 Does my unit have results or data that show trends towards an improved track record as a specialist in its field of training?										
11b.3 Does my unit have data that demonstrate that facilitators are appropriately qualified and with enough experience to be utilized effectively?										
11b.4 Does my unit have data that indicate the number of learners that have successfully completed their qualifications.										

Organisational Results Questions	FORMULATION OF THE QUESTION			RELEVANCE TO TRAINING UNITS			SAEM EVALUATION (For Info only)			
	0 ⇩	1 ⇩	2 ⇩	0 ⇩	1 ⇩	2 ⇩	0 ⇩	1 ⇩	2 ⇩	3 ⇩
For each question below, consider the: • Formulation of the question and • Relevance of this question to determine the Performance Excellence of a Training Unit. Mark your response with a √ in the selected block.	Bad	Acceptable but needs minor improvements	Good and clear	Not relevant to Training units	Some relevance to Training units	Very relevant to Training units	Not Standard	Some progress	Good progress	Fully achieved
11b.5 Does my unit have results or data that demonstrate that all training and other services requested by the stakeholders were delivered?										
11b.6 Does my unit have results or data that demonstrate that stakeholders and clients benefited from additional services delivered (e.g. research consultation or workshops)?										
11b.7 Does my unit have results or data that demonstrate that clients benefited from or are aware of the possibilities provided by Recognition of Prior Learning (RPL) programmes?										
11b.8 Does my unit have results or data that demonstrate continuous support to learners?										
11b.9 Does my unit have results or data that demonstrate trends to provide the learners with a suitable, comfortable learner-friendly environment that would enhance learning?										
11b.10 Does my unit have results or data that indicate trends in delivering cost-effective training?										
11b.11 Does my unit have results or data that show trends in providing a flexible service (e.g. schedules, group-sizes, locations or methods of training delivery?										

Organisational Results Questions	FORMULATION OF THE QUESTION			RELEVANCE TO TRAINING UNITS			SAEM EVALUATION (For Info only)			
	0 ⇩	1 ⇩	2 ⇩	0 ⇩	1 ⇩	2 ⇩	0 ⇩	1 ⇩	2 ⇩	3 ⇩
For each question below, consider the: • Formulation of the question and • Relevance of this question to determine the Performance Excellence of a Training Unit. Mark your response with a √ in the selected block.	Bad	Acceptable but needs minor improvements	Good and clear	Not relevant to Training units	Some relevance to Training units	Very relevant to Training units	Not Standard	Some progress	Good progress	Fully achieved
11b.12 Does my unit have results or data that demonstrate that training provided is accredited by legislative authorities (e.g. SAQA) or that the unit is in a process of seeking accreditation?										
11b.13 Does my unit have results or data that demonstrate that my unit is innovative in the use of new educational technologies?										

Are there any other issues related to assessing the criterion "Organisational Results" that you believe should be assessed in order to enhance Performance in a Training Unit?

Appendix C

A Customised Self-assessment Questionnaire for Use by Training Units in the SANDF

QUESTIONNAIRE

THE IMPLEMENTATION OF A CONTINUOUS PERFORMANCE IMPROVEMENT PRORAMME AT THE COLLEGE OF EDUCATIONAL TECHNOLOGY.

**Customising The South African Excellence Foundation Self-Assessment Questionnaire
For The Use By Training Units In The Department Of Defence.**

Researcher: Lt Col V.H. von Solms
July 2004

THE IMPLEMENTATION OF A CONTINUOUS PERFORMANCE IMPROVEMENT PRORAMME AT THE COLLEGE OF EDUCATIONAL TECHNOLOGY.

Please complete the following questionnaire as accurate as possible.

Mark all selected answers with a (√) in the spaces provided.

Where relevant write your suggestions or remarks in a clear handwriting and be brief and to the point.

Your cooperation is greatly appreciated.

PERSONAL INFORMATION

1. Your Service or Division:

SA Army	SAAF	SAN	SAMHS	Def Int	SF

2. Level of your post:

Levels 1 to 4	Levels 5 or 6	Levels 7 to 9	Levels 10 to 12

3. Appointment Qualifications

Military	PSAP

4. Gender

Male	Female

5. Do you have Tertiary Qualifications

No	Yes

6. Do you have ETD

No	Yes

7. Years of experience in ETD.

Less than a year	1 to 3 years	4 to 6 years	More than 6 years

This questionnaire is completed in English and this could influence the results.

8. Home Language

9. Proficiency in Reading and understanding English

Poor	Fair	Good	Excellent

Criterion 1:   Leadership   (25 Points / 10%)

SAEF Definition of the Criterion Leadership:
How the behaviour and actions of the executive team and all other leaders inspire, support and promote a culture of Performance Excellence.

Guidelines For Self-Assessment of Leaders in a Training Unit
- "Leaders" will include Officers Commanding, and their Executive team as well as Wing Commanders, Senior Instructors etc.
- The actions and approach of the majority of the leaders must captured and not that of an individual.
- Actions of the Chiefs of Services, Chief of Joint Training, Training Directors or other external authorities, must not be assessed as being Leaders of the unit.
- Higher authorities that mandate or require the training done at your unit, must be interpreted as "stakeholders".
- Actions of Leaders are in some cases influenced by prescribed Doctrine, Policies and Instructions from higher authorities and must be assessed accordingly.

. **Leadership Questions** For each question below, consider your unit's approach to as well as the deployment or implementation of the element on all levels within your unit – then put a (√) in the most appropriate column on the right.	0 ⇩ Not at all	1 ⇩ Some progres	2 ⇩ Good progres	3 ⇩ Fully achieve
1a How leaders visibly demonstrate their commitment to a culture of Performance Excellence.				
1a.1 Do all the leaders in my unit believe in an approach of Continuous Performance Improvement in the unit?				
1a.2 Do the leaders in my unit act as role models for the unit's values and expectations? (Do they lead by example?)				
1a.3 Do the leaders in my unit search for new Training and Development opportunities and approaches?				
1a.4 Do the leaders in my unit respond to the needs and suggestions of the units' staff members?				
1a.5 Do the leaders in my unit respond to the needs and suggestions of learners or clients?				
1a.6 Do the leaders in my unit respond to the needs and prescripts from the units' stakeholders (higher authorities)?				
1a.7 Do the leaders in my unit continuously seek to improve the effectiveness of their own leadership?				
1a.8 Do the leaders in my unit address public responsibilities by participating in professional bodies or conferences?				
1b How leaders support improvement and involvement.				
1b.1 Do the leaders in my unit support improvement opportunities for unit members by budgeting for continuous learning?				

Leadership Questions For each question below, consider your unit's approach to as well as the deployment or implementation of the element on all levels within your unit – then put a (√) in the most appropriate column on the right.	0 ⇩ Not at all	1 ⇩ Some progres	2 ⇩ Good progres	3 ⇩ Fully achieve
1b.2 Do the leaders in my unit effectively use compliments or awards to encourage improvement in the unit?				
1c **How leaders recognise and appreciate people's efforts and achievements.** 1c.1 Do the leaders in my unit acknowledge the inputs and efforts of individuals and teams at all levels in the unit?				
1c.2 Do the leaders in my unit recognise the inputs and efforts of individuals and teams outside the organisation (for example, support from stakeholders, other units or civilian organisations)?				

Are there any other issues related to the criterion "Leadership that you believe should be assessed in order to enhance performance in a raining unit?

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Criterion 2:   Policy and Strategy   (17 Points / 6.8%)

SAEF Definition of Policy and Strategy:
How the organisation formulates, reviews and turns policy and strategy into plans and actions.

Guidelines For Self-Assessment of Policy and Strategy in a Training Unit
- When assessing according to this criterion, both the requirements by DOD policies and strategies as well as national policies and acts (e.g. SAQA, Skills, Health or Defence Acts) must be taken into account.
- Staff members could contribute to ETD policy development in many ways. (e.g. Members of SGB's or other professional bodies, workshops, feedback to ETD policy developers etc.)

. **Policy and Strategy Questions** For each question below, consider your unit's approach to as well as the deployment or implementation of the element on all levels within your unit – then put a (√) in the most appropriate column on the right.	0 ⇩ Not at all	1 ⇩ Some progres	2 ⇩ Good progres	3 ⇩ Fully achieve
2a. How policy and strategy are developed, communicated and implemented. 2a.1 Do members in my unit contribute to the development of ETD policy and strategy in the wider DOD?				
2a.2 Does my unit develop unit policy and plans based upon legislative requirements (e.g. SAQA Act) or Government initiatives?				
2a.3 Does my unit develop unit plans and processes based upon customer and stakeholder requirements?				
2a.4 Does my unit develop unit policy, plans and processes based upon the capabilities of staff members?				
2a.5 Does my unit develop unit policy, plans and processes based upon the unit's suppliers and partners capabilities?				
2a.6 Does my unit effectively communicate policy and strategy to all its members?				
2b. How policy and strategy are regularly reviewed, updated and improved. 2b.1 Does my unit regularly review performance requirements and key performance indicators?				
2b.2 Does my unit verify and control whether performance is still in accordance to planned objectives?				

Are there any other issues related to the criterion "Policy and Planning" that you believe should be assessed in order to enhance performance in a Training unit?

Criterion 3:   Customer and Stakeholder Focus   (15 Points / 6%)

SAEF Definition of Customer and Stakeholder Focus:
How the organisation determines needs and expectations; enhances relationships and determines satisfaction of customers and stakeholders.

Guidelines for Self-Assessment of Customer and Stakeholder Focus in a Training Unit
- For the purpose of this assessment, higher authorities that mandate or require the training presented at your unit, must be interpreted as "stakeholders" (e.g. C J Trg or Trg Dir etc.).
- Learners or students can be classified as the unit's customers or clients.
- Other additional stakeholders and customers may be identified by each Training unit.

. **Customer and Stakeholder Focuse Questions** For each question below, consider your unit's approach to as well as the deployment or implementation of the element on all levels within your unit – then put a (√) in the most appropriate column on the right.	0 ⇩ Not at all	1 ⇩ Some progres	2 ⇩ Good progres	3 ⇩ Fully achieve
3a. **How customer and stakeholder needs are determined and used.** 3a.1 Does my unit implement an approach of taking customers and stakeholders needs into account?				
3a.2 Does my unit use reliable methods to gather information from all its customers and stakeholders (e.g. surveys, questionnaires or interviews)?				
3a.3 Does my unit communicate all applicable Customer and Stakeholder needs to its staff members?				
3a.4 Does my unit respond to all relevant valid information received?				
3b **How customer and stakeholder satisfaction is determined.** 3b.1 Does my unit implement methods to determine prompt feedback from learners on training related issues?				
3b.2 Does my unit implement methods to determine Stakeholder satisfaction with the training presented?				
3b.3 Does my unit resolve stakeholder and customer complaints promptly and effectively?				

Are there any other issues related to the criterion "Policy and Planning" that you believe should be assessed in order to enhance performance in a Training Unit?
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Criterion 4:   People Management   (23 Points / 9.2%)

SAEF Definition of People Management:
How the organisation develops and releases the full potential of its people.

Guidelines for Self-Assessment of People Management in a Training Unit
- For the purpose of the assessment according to this criterion, the management of all members at all levels in the unit must be included in the assessment.

People Management Questions For each question below, consider your unit's approach to as well as the deployment or implementation of the element on all levels within your unit – then put a (√) in the most appropriate column on the right.	0 ⇩ Not at all	1 ⇩ Some progres	2 ⇩ Good progres	3 ⇩ Fully achieve
4a. **How people capabilities are developed and reviewed.** 4a.1 Does my unit ensure that the Human Resources Plan is aligned with the policy, strategy and key values of the unit?				
4a.2 Does my unit have an induction plan for new staff members?				
4a.3 Does my unit develop staff member through their work experience?				
4a.4 Does my unit budget for staff members to attend training courses, lectures, seminars or symposia?				
4a.5 Does my unit acknowledge and manage cultural diversity within its workforce?				
4b **How people are involved, empowered and recognition is ensured.** 4b.1 Does my unit involve all of its people (as individuals and teams) in continuous improvement activities?				
4b.2 Does my unit empower and encourage people to be creative and take personal action in improvement activities?				
4b.3 Does my unit achieve effective up, down and lateral communication?				
4b.4 Does my unit design and apply innovative recognition systems to sustain involvement and achievement?				
4c **How people are cared for.** 4c.1 Does my unit address well-being factors like health and safety measures as part of its improvement activities?				
4c.2 Does my unit provide a support systems for members experiencing crisis situations?				

Are there any other issues related to the criterion "People Management" that you believe should be assessed in order to enhance performance in a Training unit?

Criterion 5:   Resources and Information Management (15 Points / 6%)

SAEF Definition of Resources and Information Management:
How the organisation manages and uses resources and information effectively and efficiently.

Guidelines For Self-Assessment of Resources and Information Management in a Training Unit
- "Financial Resources Management" will include budgeting and expenditure actions.
- "Information Resources" will include relevant information obtained by experience, research, benchmarking etc. as well as Human Intellectual Management.
- "Material Resources" will include all logistical matters and actions.

. **Resources and Information Management Questions** For each question below, consider your unit's approach to as well as the deployment or implementation of the element on all levels within your unit – then put a (√) in the most appropriate column on the right.	0 ⇩ Not at all	1 ⇩ Some progres	2 ⇩ Good progres	3 ⇩ Fully achieve
5a. **How financial resources are managed.** 5a.1 Does my unit meet the requirements or prescripts of the DOD's Financial Management System?				
5a.2 Does my unit employ budget control mechanisms to regularly review the unit's performance against budget?				
5b **How information resources are managed.** 5b.1 Does my unit seek opportunities to gain new knowledge (courses, seminars. research etc.) that would ensure improved training and development?				
5b.2 Does my unit employ mechanisms to ensure that relevant information is communicated to all members in the unit?				
5b.3 Does my unit use benchmarks and comparative information to encourage performance improvement?				
5c **How buildings, equipment and other assets are managed.** 5c.1 Does my unit make best use of its buildings, vehicles, equipment and other resources?				
5c.2 Does my unit manage logistics according to DOD prescripts?				

Are there any other issues related to the criterion "Resources and Information Management" that you believe should be assessed in order to enhance performance in a Training unit?

Criterion 6:   Processes   (30 Points / 12%)

SAEF Definition of the criterion Processes
How the organisation identifies and improves its activities and processes.

Guidelines For Self-Assessment of Processes in a Training Unit
- "Processes" will include the processes, SOPs, directives, routines or guidelines utilized in the executing of activities in the unit.
- Processes for Quality Provision of ETD must be based on the guidelines provided by SAQA and the ETDQA.
- Internal processes will also be based on guidelines or policy prescribed by the unit's higher authority within the DOD.

. **Processes Questions** For each question below, consider your unit's approach to as well as the deployment or implementation of the element on all levels within your unit – then put a (√) in the most appropriate column on the right.	0 ⇩ Not at all	1 ⇩ Some progres	2 ⇩ Good progres	3 ⇩ Fully achieve
6a. How processes are identified and systematically managed. 6a.1 Does my unit identify the key processes (e.g. the ETD process) and sub-processes that would have significant impact on results?				
6a.2 Does my unit incorporate changing customer and stakeholder requirements into its training and service processes?				
6a.3 Does my unit incorporate changing educational technologies into its training and service processes?				
6a.4 Does my unit incorporate changing legislative requirements and procedures (e.g. ETDQA) into training and service processes?				
6a.5 Does my unit design its daily operational processes or SOPs to meet quality standards and operational performance requirements?				
6a.6 Does my unit design training curricula and other training service delivery processes to meet quality standards and operational performance requirements?				
6a.7 Does my unit establish process ownership, responsibility and accountability within all members of the unit?				
6a.8 Does my unit use established systems (e.g. SAQA or SETA) in process management?				
6a.9 Does my unit include environmental and health and safety systems in process management?				
6b How processes are reviewed and targets are set for improvement. 6b.1 Does my unit regularly identify, both small or revolutionary methods of process improvement?				
6b.2 Does my unit encourage employees to use their innovative and creative talents in process improvement?				
6b.3 Does my unit evaluate the benefits of process changes through testing and review?				

Processes Questions For each question below, consider your unit's approach to as well as the deployment or implementation of the element on all levels within your unit – then put a (√) in the most appropriate column on the right.	0 ⇩ Not at all	1 ⇩ Some progres	2 ⇩ Good progres	3 ⇩ Fully achieve
6b.4 Does my unit communicate the implementation of process changes to all members in the unit?				
6b.5 Does my unit provide the relevant members with training or guidelines as how the changed processes will be implemented?				

Are there any other issues related to the criterion "Processes" that you believe should be assessed in order to enhance performance in a Training unit?

Criterion 7:   Social Responsibility   (15 Points / 6%)

SAEF Definition of Social Responsibility:
How the organisation is achieving in satisfying the needs and the expectations of the local community.

Guidelines For Self-Assessment of Social Responsibility in a Training Unit
- For the assessment of Social Responsibility, trends must be supported by evidence and numbers or statistics.
- The following are important to remember:
  - The effect on the quality of live of and support or assistance to local communities.
  - Environmental and conservation issues.
  - Relations with authorities and bodies that regulate the unit's core business (e.g. SAQA, ETQA, DIDTETA etc.).

. **Social Responsibility Questions** For each question below, consider your unit's approach to as well as the deployment or implementation of the element on all levels within your unit – then put a (√) in the most appropriate column on the right.	0 ⇩ Not at all	1 ⇩ Some progres	2 ⇩ Good progres	3 ⇩ Fully achieve
7a. Measurement of the unit's impact on the society.				
7a.1 Does my unit have results that show trends in relation to improved performance in equal opportunity practice?				
7a.2 Does my unit have results that show trends in relation to improved performance as a responsible government authority by its contribution to development and nation building?				
7a.3 Does my unit have results that show trends in relation to improved performance as a responsible government authority by developing sound relations with national authorities? (E.g. SAQA).				
7a.4 Does my unit have results that show trends in relation to promoting the quality of life within the community by the unit's involvement in outreach initiatives? Examples are medical or welfare assistance, sport or recreation initiatives and voluntary work and assistance by unit members.				
7a.5 Does my unit have results that show trends in relation to conservation of resources and the environment? Examples are determining the ecological impact, optimization of energy or water consumption and/or the recycle of waste materials.				
7a.6 Does my unit have results that show trends in relation to contribution to regional or national training initiatives? Examples are members of SGBs, guest speakers at conferences or at other training institutions.				
7a.7 Does my unit have results that show trends in relation to receiving departmental or national accolades or awards?				

Are there any other issues related to the criterion "Social Responsibility" that you believe should be assessed in order to enhance performance in a Training unit?

Criterion 8:   Customer and Stakeholder Satisfaction   (43 Points / 17.2%)

SAEF Definition of the criterion Customer And Stakeholder Satisfaction :
What the organisation is achieving in relation to the satisfaction of its external customers and stakeholders.

Guidelines For Self-Assessment of Customer and Stakeholder Satisfaction in a Training Unit
- The assessment of Customer and Stakeholder Satisfaction must be supported by evidence and numbers.
- Higher authorities that mandate or require the training done at your unit, must be interpreted as "stakeholders".
- Learners or students are the unit's "customers" or clients.
- Adherence to prescribed doctrine, policies and instructions from higher authorities, will improve stakeholder satisfaction.

. **Customer and Stakeholder Satisfaction Questions** For each question below, consider your unit's approach to as well as the deployment or implementation of the element on all levels within your unit – then put a (√) in the most appropriate column on the right.	0 ⇩ Not at all	1 ⇩ Some progres	2 ⇩ Good progres	3 ⇩ Fully achieve
8a. Measurements relating to the satisfaction of the unit's stakeholders. 8a.1 Does my unit have results or data that show trends of good relations with higher authorities (stakeholders) in relation to improved overall image of the unit?				
8a.2 Does my unit have results or data that show trends in relation to improved stakeholder satisfaction with training provided?				
8a.3 Does my unit have results or data that show trends in good communication with stakeholders?				
8a.4 Does my unit have results or data that show trends in relation to improved responsiveness and flexibility in meeting changing stakeholder requirements?				
8a.5 Does my unit have results or data that show trends in relation to pro-active behaviour and recommendations to stakeholders?				
8a.6 Does my unit have results or data that show trends in relation to improved documentation and report mechanism for training results?				
8b. Measurements relating to the satisfaction of the unit's customers. 8b.1 Does my unit employ effective methods (surveys, questionnaires etc.) to determine learners' perception of and satisfaction or dissatisfaction with the training and services provided?				
8b.2 Does my unit have results or data that show the level of customer satisfaction or dissatisfaction?				
8b.3 Does my unit have results or data that show learners' perception of the quality of course or module design?				

Customer and Stakeholder Satisfaction Questions For each question below, consider your unit's approach to as well as the deployment or implementation of the element on all levels within your unit – then put a (√) in the most appropriate column on the right.	0 ⇩ Not at all	1 ⇩ Some progres	2 ⇩ Good progres	3 ⇩ Fully achieve
8b.4 Does my unit have results or data that show learners' perception of the quality of instruction or facilitation?				
8b.5 Does my unit have results or data that show learners' perception of the quality of course administration?				
8b.6 Does my unit have results or data that show learners' perception of the quality of course material, documentation or technical resources?				
8b.7 Does my unit have results or data that show learners' perception of the quality of how complaints are addressed?				
8b.8 Does my unit have results or data that show trends in relation to improved overall image in terms of integrity, fairness and courtesy of instructors or facilitators?				
8c. **Measurements relating to training and services.** 8c.1 Does my unit have results or data that show learners' perception of the accessibility to training at the unit?				
8c.2 Does my unit have results or data that show trends of innovation in training and facilitation approaches?				
8c.3 Does my unit have results or data that show stakeholders' and customers' perception of the relevance and need of the training provided at the unit?				
8c.4 Does my unit have results or data that show the improvement of skills, capabilities and behaviour of learners in their working environment after completing their training?				
8c.5 Does my unit have results or data that show the numbers of learners who successfully completed distance education or On-the-Job training modules?				
8c.6 Does my unit present training that is accredited by legislative authorities? (e.g. SAQA)				

Are there any other issues related to the criterion "Customer and Stakeholder Satisfaction" that you believe should be assessed in order to enhance performance in a Training unit?

Criterion 9:   People Satisfaction   (22 Points / 8.8%)

SAEF Definition of the criterion People Satisfaction:
What the organisation is achieving in relation to the satisfaction of its people.

Guidelines For Self-Assessment of People Satisfaction in a Training Unit
- When assessing according to this criterion, the collective satisfaction of all the members staffed in your unit must be regularly determined.
- Surveys, interviews, structured appraisals or focus groups could be used to determine people satisfaction.
- The satisfaction of learners, partners and other role players must not be assessed as part of this criterion.
- Where learners are managed as staff members while on long term courses (e.g. SAS Wingfield), their satisfaction could also be separately assessed.

. **People Satisfaction Questions** For each question below, consider your unit's approach to as well as the deployment or implementation of the element on all levels within your unit – then put a (√) in the most appropriate column on the right.	0 ⇩ Not at all	1 ⇩ Some progres	2 ⇩ Good progres	3 ⇩ Fully achieve
9. **Measurement of the people's satisfaction with the unit.** 9.1 Does my unit have results or data that show trends in relation to unit members' satisfaction with the recognition and appreciation of individuals and teams?				
9.2 Does my unit have results or data that show trends in relation to unit members' satisfaction with the involvement and empowerment of all members in the unit?				
9.3 Does my unit have results or data that show trends in relation to unit members' satisfaction with the provision of training and development opportunities to all staff members in the unit?				
9.4 Does my unit have results or data that show trends in relation to unit members' satisfaction with the implementation of equal opportunities for members within the unit?				
9.5 Does my unit have results or data that show trends in relation to successfully addressing any grievances of members?				
9.6 Does my unit have results or data that show trends in relation to an acceptable staff turnover?				
9.7 Does my unit have results or data that show trends in relation to good relations between members of the unit?				
9.8 Does my unit have results or data that show trends in relation to unit members' satisfaction with the accuracy and efficiency of personnel administration?				

	0 ⇩	1 ⇩	2 ⇩	3 ⇩
. **People Satisfaction Questions** For each question below, consider your unit's approach to as well as the deployment or implementation of the element on all levels within your unit – then put a (√) in the most appropriate column on the right.	Not at all	Some progres	Good progres	Fully achieve
9.9 Does my unit have results or data that show trends in relation to unit members' satisfaction with the communication mechanisms within the unit?				
9.10 Does my unit have results or data that show trends in relation to unit members' satisfaction with the availability of resources within the unit?				

Are there any other issues related to the criterion "Customer and Stakeholder Satisfaction" that you believe should be assessed in order to enhance performance in a Training unit?

Criterion 10: Suppliers and Partnership Performance (7 Points / 2.8%)

SAEF Definition of the criterion Suppliers and Partnership Performance :
What the organisation is achieving in relation to the management of supplier and partnership processes**.**

Guidelines For Self-Assessment of Suppliers and Partnership Performance in a Training Unit

- "Suppliers" will be all parties that render a service to the unit in order to logistically support all activities or sustain the operational function within the unit.
- "Partners" could include all parties that assist, cooperate or aid the unit in reaching its goals and objectives.
- The actions or performance excellence of these suppliers or partners must not be assessed in isolation but rather the actions and efforts of your unit in managing and improving services rendered by these parties.

. **Suppliers and Partnership Performance Questions** For each question below, consider your unit's approach to as well as the deployment or implementation of the element on all levels within your unit – then put a (√) in the most appropriate column on the right.	0 ⇩ Not at all	1 ⇩ Some progres	2 ⇩ Good progres	3 ⇩ Fully achieve
10. **Measurement of the units perception of its suppliers' and partners' performance.** 10.1 Does my unit have results or data that show that all relevant service agreements are in place?				
10.2 Does my unit have results or data that indicate the suppliers' and partners' performance levels?				
10.3 Does my unit have results or data that show trends in determining the value of partner relationships?				
10.4 Does my unit have results or data that show trends in improved training due to suppliers' or partners' service delivery?				

Are there any other issues related to the criterion "Suppliers and Partnership Performance" that you believe should be assessed in order to enhance performance in a Training unit?

Criterion 11: Organisational Results (38 Points / 15.2%)

SAEF Definition of the criterion Organisational Results:
What the organisation is achieving in relation to its planned organisation objectives and in satisfying the needs and expectations of every one with a financial interest or other stake in the organisation.

Guidelines For Self-Assessment of Organisational Results in a Training Unit
- The assessment according to this criterion will be based on the evidence presented for the assessment of all the "Results Criteria" (Criteria 7 to 10).
- Financial Measurements will include Financial Management, Budget and Expenditure matters within the unit.
- The results criteria are concerned with what the unit has achieved and is achieving. This will be done by assessing the degree of excellence of results, as well as the scope of results.
- Both the existence of data and the level of efficiency indicated by the identified trends must be assessed.

. **Organisational Results Questions** For each question below, consider your unit's approach to as well as the deployment or implementation of the element on all levels within your unit – then put a (√) in the most appropriate column on the right.	0 ⇩ Not at all	1 ⇩ Some progres	2 ⇩ Good progres	3 ⇩ Fully achieve
11a. Financial measurements of the unit's performance.				
11a.1 Does my unit have results or data that show trends in improved performance against the unit's budget?				
11a.2 Does my unit have results or data that show trends in improved balance sheet items such as in-time expenditure patterns?				
11a.3 Does my unit have results or data that show trends in improved cash flow items including committed expenditures or corrective actions taken?				
11b. Additional measurements of the Unit's performance				
11b.1 Does my unit have results or data that show trends in continuous overall performance improvement relating to training delivery?				
11b.2 Does my unit have results or data that show trends towards an improved track record as a specialist in its field of training?				
11b.3 Does my unit have data that demonstrate that facilitators are appropriately qualified to be utilized as ETDPs?				
11b.4 Does my unit have data that demonstrate an efficient course administration.?				
11b.5 Does my unit have data that indicate the number of learners that have successfully completed their qualifications?				
11b.6 Does my unit have results or data that demonstrate that all training and other services requested by the stakeholders were				

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	0 ⇩	1 ⇩	2 ⇩	3 ⇩
. **Organisational Results Questions** For each question below, consider your unit's approach to as well as the deployment or implementation of the element on all levels within your unit – then put a (√) in the most appropriate column on the right.	Not at all	Some progres	Good progres	Fully achieve
delivered?				
11b.7 Does my unit have results or data that demonstrate that stakeholders and clients benefited from additional services delivered (e.g. research consultation or workshops)?				
11b.8 Does my unit have results or data that demonstrate that clients benefited from or are aware of the possibilities provided by Recognition of Prior Learning (RPL) programmes?				
11b.9 Does my unit have results or data that quantitatively demonstrate continuous support to learners?				
11b.10 Does my unit have results or data that demonstrate trends to provide the learners with a suitable, comfortable learner-friendly environment that would enhance learning?				
11b.11 Does my unit have results or data that indicate trends in delivering cost-effective training?				
11b.12 Does my unit have results or data that show trends in providing a flexible service (e.g. schedules, group-sizes, locations or methods of training delivery)?				
11b.13 Does my unit have results or data that demonstrate that training provided is accredited by legislative authorities (e.g. SAQA) or that the unit is in a process of seeking accreditation?				
11b.14 Does my unit have results or data that demonstrate that my unit is innovative in the use of new educational technologies?				
11b.15 Does my unit have results or data that demonstrate trends in evaluating training provided in order to update the training where necessary?				

Are there any other issues related to the criterion "Organisational Results" that you believe should be assessed in order to enhance performance in a Training unit?

Appendix D

A Customised Questionnaire Used During the Self-assessment Workshop

QUESTIONNAIRE

SELF-ASSESSMENT AS COMPONENT OF A CONTINUOUS PERFORMANCE IMPROVEMENT STRATEGY AND QUALITY ASSURANCE OF EDUCATION, TRAINING AND DEVELOPMENT WITHIN THE SOUTH AFRICAN DEPARTMENT OF DEFENCE.

Three Phase Questionnaire for use during a Self-Assessment Workshop.

Researcher: Lt Col V.H. von Solms
February 2005

THE IMPLEMENTATION OF A CONTINUOUS PERFORMANCE IMPROVEMENT PROGRAMME AT THE COLLEGE OF EDUCATIONAL TECHNOLOGY.

Please complete the following questionnaire as accurate as possible.

Mark all selected answers with a (√) in the spaces provided.

Your cooperation is greatly appreciated.

PERSONAL INFORMATION

1. Your Service or Division:

SA Army	SAAF	SAN	SAMHS	Def Int	SF

2. Level of your post:

Levels 1 to 4	Levels 5 or 6	Levels 7 to 9	Levels 10 to 12

3. Appointment

Military	PSAP

4. Gender

Male	Female

5. Do you have Tertiary Qualifications

No	Yes

6. Do you have ETD Qualifications

No	Yes

7. Years of experience in ETD.

Less than a year	1 to 3 years	4 to 6 years	More than 6 years

This questionnaire is completed in English.

8. Home Language

9. Proficiency in Reading and understanding English

Poor	Fair	Good	Excellent

QUESTIONNAIRE

Guidelines For Completing This Questionnaire

This Questionnaire provides for a self-assessment of the quality of performance of your own unit using the eleven (11) criteria that are assessed as part of the South African Excellence Model.

The Questionnaire will be completed in Three Phases:

- **PHASE ONE: Assessment of the Performance Excellence of your unit.**

  For each question below, consider your unit's approach to as well as the implementation of the element on all levels within your unit – then put a (√) in the most appropriate column on the right.

  Mark in the appropriate blocks provided whether you are of the opinion that:

  o   Your unit does **not** address or implement this element **at all**.
  o   Your unit has considered or made **some progress** in implementing this element.
  o   Your unit has made **good progress** in their approach and implementation of this element.
  o   This element has been **fully achieved** or implemented in your unit.

- **PHASE TWO: Indicate the consensus rating after the Group discussion.**

  Mark the consensus rating in the space provided.

- **PHASE THREE: Response to Consensus rating..**

  Mark in the appropriate blocks provided whether you are of the opinion that:

  o   You now agree with the consensus rating because of the facts that were mentioned during the discussion.
  o   You disagree with the consensus rating and still believe your first rating was correct.

o   You disagree with the consensus rating but would like to now select a new rating.

Criterion 1:   Leadership   (25 Points / 10%)

SAEF Definition of the Criterion Leadership: How the behaviour and actions of the executive team and all other leaders inspire, support and promote a culture of Performance Excellence.

Guidelines For Self-Assessment of Leaders in a Training Unit
- "Leaders" will include Officers Commanding, and their Executive team as well as Wing Commanders, Senior Instructors etc.
- The actions and approach of the majority of the leaders must be captured and not that of an individual.
- Actions of the Chiefs of Services, Chief of Joint Training, Training Directors or other external authorities, must not be assessed as being Leaders of the unit.
- Higher authorities that mandate or require the training done at your unit, must be interpreted as "stakeholders".
- Actions of Leaders are in some cases influenced by prescribed Doctrine, Policies and Instructions from higher authorities and must be assessed accordingly.

	Personal Rating				Consensus				Response to Consensus			
	0 ⇓	1 ⇓	2 ⇓	3 ⇓	0 ⇓	1 ⇓	2 ⇓	3 ⇓	0 ⇓	1 ⇓	2 ⇓	3 ⇓
. **Leadership Questions** For each question below, consider your unit's approach to, as well as the deployment or implementation of the element on all levels within your unit – then put a (√) in the most appropriate column on the right.	Not at all	Some progress	Good progress	Fully achieved	Not at all	Some progress	Good progress	Fully achieved	Not at all	Some progress	Good progress	Fully achieved
1a **How leaders visibly demonstrate their commitment to a culture of Performance Excellence.** 1a.1 Do the leaders in my unit act as role models for the unit's values and expectations? (Do they lead by example?)												
1a.2 Do the leaders in my unit respond to the needs and suggestions of the units' staff members?												
1a.3 Do the leaders in my unit respond to the needs and suggestions of learners or clients?												

	Personal Rating				Consensus				Response to Consensus			
	0 ⇩	1 ⇩	2 ⇩	3 ⇩	0 ⇩	1 ⇩	2 ⇩	3 ⇩	0 ⇩	1 ⇩	2 ⇩	3 ⇩
. **Leadership Questions** For each question below, consider your unit's approach to, as well as the deployment or implementation of the element on all levels within your unit – then put a (√) in the most appropriate column on the right.	Not at all	Some progress	Good progress	Fully achieved	Not at all	Some progress	Good progress	Fully achieved	Not at all	Some progress	Good progress	Fully achieved
1a.4 Do the leaders in my unit continuously seek to improve the effectiveness of their own leadership?												
1b **How leaders support improvement and involvement.** 1b.1 Do the leaders in my unit support improvement opportunities for unit members by budgeting for continuous learning?												
1c **How leaders recognise and appreciate people's efforts and achievements.** 1c.1 Do the leaders in my unit acknowledge the inputs of staff members at all levels in the unit?												

Criterion 2:   Policy and Strategy   (17 Points / 6.8%)

SAEF Definition of Policy and Strategy:
How the organisation formulates, reviews and turns policy and strategy into plans and actions.

Guidelines For Self-Assessment of Policy and Strategy in a Training Unit
- When assessing according to this criterion, both the requirements by DOD policies and strategies as well as national policies and acts (e.g. SAQA, Skills, Health or Defence Acts) must be taken into account.
- Staff members could contribute to ETD policy development in many ways. (e.g. members of SGB's or other professional bodies, workshops, feedback to ETD policy developers etc.)

Policy and Strategy Questions / For each question below, consider your unit's approach to, as well as the deployment or implementation of the element on all levels within your unit – then put a (√) in the most appropriate column on the right.	Personal Rating				Consensus				Response to Consensus			
	0 Not at all	1 Some progress	2 Good progress	3 Fully achieved	0 Not at all	1 Some progress	2 Good progress	3 Fully achieved	0 Not at all	1 Some progress	2 Good progress	3 Fully achieved
2a. How policy and strategy are developed, communicated and implemented. 2a.1 Does my unit develop unit policy and plans based upon legislative requirements (e.g. SAQA Act) or Government initiatives?												
2a.2 Does my unit develop unit plans and processes based upon customer and stakeholder requirements?												
2a.3 Does my unit effectively communicate policy and strategy to all its members?												
2b. How policy and strategy are regularly reviewed, updated and improved. 2b.1 Does my unit regularly review performance requirements and key performance indicators?												

Criterion 3:   Customer and Stakeholder Focus   (15 Points / 6%)

SAEF Definition of Customer and Stakeholder Focus:
How the organisation determines needs and expectations; enhances relationships and determines satisfaction of customers and stakeholders.

Guidelines for Self-Assessment of Customer and Stakeholder Focus in a Training Unit
- For the purpose of this assessment, higher authorities that mandate or require the training presented at your unit, must be interpreted as "stakeholders" (e.g. C J Trg or Trg Dir etc.).
- Learners or students can be classified as the unit's customers or clients.
- Other additional stakeholders and customers may be identified by each Training Unit.

. **Customer and Stakeholder Focus Questions** For each question below, consider your unit's approach to, as well as the deployment or implementation of the element on all levels within your unit – then put a (√) in the most appropriate column on the right.	Personal Rating 0 Not at all	1 Some progress	2 Good progress	3 Fully achieved	Consensus 0 Not at all	1 Some progress	2 Good progress	3 Fully achieved	Response to Consensus 0 Not at all	1 Some progress	2 Good progress	3 Fully achieved
3a. How customer and stakeholder needs are determined and used. 3a.1 Does my unit implement an approach of taking the needs of its customers and stakeholders into account?												
3a.2 Does my unit use reliable methods to gather information from all its customers and stakeholders (e.g. surveys, questionnaires or interviews)?												
3a.3 Does my unit communicate all applicable customer and stakeholder needs to its staff members?												
3b How customer and stakeholder satisfaction is determined. 3b.1 Does my unit implement methods to determine stakeholder satisfaction with the												

	Personal Rating				Consensus				Response to Consensus			
. **Customer and Stakeholder Focus Questions** For each question below, consider your unit's approach to, as well as the deployment or implementation of the element on all levels within your unit – then put a (√) in the most appropriate column on the right.	0 ⇓	1 ⇓	2 ⇓	3 ⇓	0 ⇓	1 ⇓	2 ⇓	3 ⇓	0 ⇓	1 ⇓	2 ⇓	3 ⇓
	Not at all	Some progress	Good progress	Fully achieved	Not at all	Some progress	Good progress	Fully achieved	Not at all	Some progress	Good progress	Fully achieved
training presented?												

Criterion 4:   People Management   (23 Points / 9.2%)

SAEF Definition of People Management:
How the organisation develops and releases the full potential of its people.

Guidelines for Self-Assessment of People Management in a Training Unit
- For the purpose of the assessment according to this criterion, the management of all members at all levels in the unit must be included in the assessment.

	Personal Rating				Consensus				Response to Consensus			
. **People Management Questions** For each question below, consider your unit's approach to, as well as the deployment or implementation of the element on all levels within your unit – then put a (√) in the most appropriate column on the right.	0 ⇓	1 ⇓	2 ⇓	3 ⇓	0 ⇓	1 ⇓	2 ⇓	3 ⇓	0 ⇓	1 ⇓	2 ⇓	3 ⇓
	Not at all	Some progress	Good progress	Fully achieved	Not at all	Some progress	Good progress	Fully achieved	Not at all	Some progress	Good progress	Fully achieved

	Personal Rating				Consensus				Response to Consensus			
. **People Management Questions**	0 ⇩	1 ⇩	2 ⇩	3 ⇩	0 ⇩	1 ⇩	2 ⇩	3 ⇩	0 ⇩	1 ⇩	2 ⇩	3 ⇩
For each question below, consider your unit's approach to, as well as the deployment or implementation of the element on all levels within your unit – then put a (√) in the most appropriate column on the right.	Not at all	Some progress	Good progress	Fully achieved	Not at all	Some progress	Good progress	Fully achieved	Not at all	Some progress	Good progress	Fully achieved
4a. **How people capabilities are developed and reviewed.** 4a.1 Does my unit ensure that the Human Resources Plan is aligned with the policy, strategy and key values of the unit?												
4a.2 Does my unit develop staff members through their work experience?												
4a.3 Does my unit budget for staff members to attend training courses, lectures, seminars or symposia?												
4a.4 Does my unit acknowledge and manage cultural diversity within its workforce?												
4b **How people are involved, empowered and recognition is ensured.** 4b.1 Does my unit encourage people to take personal action in improvement activities?												
4c **How people are cared for.** 4c.1 Does my unit address well-being factors like health and safety measures as part of its improvement activities?												

Criterion 5:   Resources and Information Management   (15 Points / 6%)

SAEF Definition of Resources and Information Management:
How the organisation manages and uses resources and information effectively and efficiently.

Guidelines For Self-Assessment of Resources and Information Management in a Training Unit
- "Financial Resources Management" will include budgeting and expenditure actions.
- "Information Resources" will include relevant information obtained by experience, research, benchmarking etc. as well as Human Intellectual Management.

- "Material Resources" will include all logistical matters and actions.

. **Resources and Information Management Questions** For each question below, consider your unit's approach to, as well as the deployment or implementation of the element on all levels within your unit – then put a (√) in the most appropriate column on the right.	Personal Rating				Consensus				Response to Consensus			
	0 Not at all	1 Some progress	2 Good progress	3 Fully achieved	0 Not at all	1 Some progress	2 Good progress	3 Fully achieved	0 Not at all	1 Some progress	2 Good progress	3 Fully achieved
5a. **How financial resources are managed.** 5a.1 Does my unit meet the requirements or prescripts of the DOD's Financial Management System?												
5b **How information resources are managed.** 5b.1 Does my unit seek opportunities to gain new knowledge (courses, seminars. research etc.) that would ensure improved training and development?												
5b.2 Does my unit use benchmarks (compare) information from other training institutions to encourage performance improvement?												
5c **How buildings, equipment and other assets are managed.** 5c.1 Does my unit make best use of all its resources (buildings, vehicles, equipment etc.)?												

Criterion 6: Processes (30 Points / 12%)

SAEF Definition of the criterion Processes
How the organisation identifies and improves its activities and processes.

Guidelines For Self-Assessment of Processes in a Training Unit
- "Processes" will include the processes, SOPs, directives, routines or guidelines utilized in the executing of activities in the unit.
- Processes for Quality Provision of ETD must be based on the guidelines provided by SAQA and the ETDQA.
- Internal processes will also be based on guidelines or policy prescribed by the unit's higher authority within the DOD.

Processes Questions For each question below, consider your unit's approach to, as well as the deployment or implementation of the element on all levels within your unit – then put a (√) in the most appropriate column on the right.	**Personal Rating**				**Consensus**				**Response to Consensus**			
	0 ⇩	1 ⇩	2 ⇩	3 ⇩	0 ⇩	1 ⇩	2 ⇩	3 ⇩	0 ⇩	1 ⇩	2 ⇩	3 ⇩
	Not at all	Some progress	Good progress	Fully achieved	Not at all	Some progress	Good progress	Fully achieved	Not at all	Some progress	Good progress	Fully achieved
6a. **How processes are identified and systematically managed.** 6a.1 Does my unit identify the key processes (e.g. the ETD process) and sub-processes that would have significant impact on results?												
6a.2 Does my unit incorporate changing customer and stakeholder requirements into its training processes?												
6a.3 Does my unit incorporate changing legislative requirements and procedures (e.g. ETDQA) into training and service processes?												
6a.4 Does my unit design training curricula and other training service delivery processes to meet quality standards and operational performance requirements?												
6b **How processes are reviewed and targets are set for improvement.** 6b.1 Does my unit regularly search for methods of process improvement?												
6b.2 Does my unit evaluate the benefits of process changes through testing or review?												
6b.3 Does my unit provide the relevant members with training or guidelines as how the changed processes will be implemented?												

Criterion 7:   Social Responsibility   (15 Points / 6%)

SAEF Definition of Social Responsibility:
How the organisation is achieving in satisfying the needs and the expectations of the local community.

Guidelines For Self-Assessment of Social Responsibility in a Training Unit
- For the assessment of Social Responsibility, trends must be supported by evidence and numbers or statistics.
- The following are important to remember:
  - The effect on the quality of life of local communities and support or assistance to local communities.

o Environmental and conservation issues.

o Relations with authorities and bodies that regulate the unit's core business (e.g. SAQA, ETQA, DIDTETA etc.).

Social Responsibility Questions For each question below, consider your unit's approach to, as well as the deployment or implementation of the element on all levels within your unit – then put a (√) in the most appropriate column on the right.	Personal Rating				Consensus				Response to Consensus			
	0 Not at all	1 Some progress	2 Good progress	3 Fully achieved	0 Not at all	1 Some progress	2 Good progress	3 Fully achieved	0 Not at all	1 Some progress	2 Good progress	3 Fully achieved
7a. **Measurement of the unit's impact on the society.** 7a.1 Does my unit have results that show trends in relation to improved performance in its contribution to development and nation building?												
7a.2 Does my unit have results that show trends in relation to its improved performance as a responsible government authority by developing sound relations with national authorities? (E.g. SAQA).												
7a.3 Does my unit have results that show trends in relation to its promoting of the quality of life within the community by the unit's involvement in outreach initiatives? Examples are medical or welfare assistance, sport or recreation initiatives and voluntary work and assistance by unit members.												
7a.4 Does my unit have results that show trends in relation to its conservation of resources and the environment? Examples are determining the ecological impact, optimization of energy or water consumption and/or the reduction, of waste materials.												

Criterion 8:   Customer and Stakeholder Satisfaction   (43 Points / 17.2%)

SAEF Definition of the criterion Customer And Stakeholder Satisfaction :
What the organisation is achieving in relation to the satisfaction of its external customers and stakeholders.

Guidelines For Self-Assessment of Customer and Stakeholder Satisfaction in a Training Unit
- The assessment of Customer and Stakeholder Satisfaction must be supported by evidence and numbers.

- Higher authorities that mandate or require the training done at your unit, must be interpreted as "stakeholders".
- Learners or students are the unit's "customers" or clients.
- Adherence to prescribed doctrine, policies and instructions from higher authorities, will improve stakeholder satisfaction.

	Personal Rating				Consensus				Response to Consensus			
. **Customer and Stakeholder Satisfaction Questions** For each question below, consider your unit's approach to, as well as the deployment or implementation of the element on all levels within your unit – then put a (√) in the most appropriate column on the right.	0 ⇩ Not at all	1 ⇩ Some progress	2 ⇩ Good progress	3 ⇩ Fully achieved	0 ⇩ Not at all	1 ⇩ Some progress	2 ⇩ Good progress	3 ⇩ Fully achieved	0 ⇩ Not at all	1 ⇩ Some progress	2 ⇩ Good progress	3 ⇩ Fully achieved
8a. **Measurements relating to the satisfaction of the unit's stakeholders.** 8a.1 Does my unit have results or data that show trends in relation to improved stakeholder satisfaction with training provided?												
8a.2 Does my unit have results or data that show trends in relation to improved responsiveness and flexibility in meeting changing stakeholder requirements?												
8a.3 Does my unit have results or data that show trends in relation to pro-active behaviour and recommendations to stakeholders?												
8b. **Measurements relating to the satisfaction of the unit's customers.** 8b.1 Does my unit employ effective methods (surveys, questionnaires etc.) to determine learners' perception of and satisfaction or dissatisfaction with the training provided?												
8b.2 Does my unit have results or data that show learners' perception of the quality of course or module design?												
8b.3 Does my unit have results or data that show learners' perception of the quality of instruction or facilitation?												
8b.4 Does my unit have results or data that show learners' perception of the quality of course administration?												

Customer and Stakeholder Satisfaction Questions For each question below, consider your unit's approach to, as well as the deployment or implementation of the element on all levels within your unit – then put a (√) in the most appropriate column on the right.	Personal Rating				Consensus				Response to Consensus			
	0 ⇩ Not at all	1 ⇩ Some progress	2 ⇩ Good progress	3 ⇩ Fully achieved	0 ⇩ Not at all	1 ⇩ Some progress	2 ⇩ Good progress	3 ⇩ Fully achieved	0 ⇩ Not at all	1 ⇩ Some progress	2 ⇩ Good progress	3 ⇩ Fully achieved
8b.5 Does my unit have results or data that show learners' perception of the quality of course material provided?												
8c. **Measurements relating to training and services.** 8c.1 Does my unit have results or data that show customers' and stakeholders' perception of the need of the training provided at the unit?												
8c.2 Does my unit have results or data that show the numbers of learners who successfully completed distance education or On-the-Job training modules?												

Criterion 9:   People Satisfaction   (22 Points / 8.8%)

SAEF Definition of the criterion People Satisfaction:
What the organisation is achieving in relation to the satisfaction of its people.

Guidelines For Self-Assessment of People Satisfaction in a Training Unit
- When assessing according to this criterion, the collective satisfaction of all the members staffed in your unit must be regularly determined.
- Surveys, interviews, structured appraisals or focus groups could be used to determine people satisfaction.
- The satisfaction of learners, partners and other role players must not be assessed as part of this criterion.
- Where learners are managed as staff members while on long term courses (e.g. SAS Wingfield), their satisfaction could also be separately assessed.

People Satisfaction Questions	Personal Rating				Consensus				Response to Consensus			
	0	1	2	3	0	1	2	3	0	1	2	3
For each question below, consider your unit's approach to, as well as the deployment or implementation of the element on all levels within your unit – then put a (√) in the most appropriate column on the right.	Not at all	Some progress	Good progress	Fully achieved	Not at all	Some progress	Good progress	Fully achieved	Not at all	Some progress	Good progress	Fully achieved
9. Measurement of the people's satisfaction with the unit. 9.1 Does my unit have results or data that show trends in relation to unit members' improved satisfaction with the recognition they receive within the unit?												
9.2 Does my unit have results or data that show trends in relation to unit members' improved satisfaction with the implementation of equal opportunities for members within the unit?												
9.3 Does my unit have results or data that show trends in relation to good relations between members of the unit?												
9.4 Does my unit have results or data that show trends in relation to unit members' satisfaction with the accuracy and efficiency of personnel administration?												
9.5 Does my unit have results or data that show trends in relation to unit members' satisfaction with the availability of resources within the unit?												

Criterion 10:   Suppliers and Partnership Performance   (7 Points / 2.8%)

SAEF Definition of the criterion Suppliers and Partnership Performance :

What the organisation is achieving in relation to the management of supplier and partnership processes.

Guidelines For Self-Assessment of Suppliers and Partnership Performance in a Training Unit

- "Suppliers" will be all parties that render a service to the unit in order to logistically support all activities or sustain the operational function within the unit.
- "Partners" could include all parties that assist, cooperate or aid the unit in reaching its goals and objectives.
- The actions or performance excellence of these suppliers or partners must not be assessed in isolation but rather the actions and efforts of your unit in managing and improving services rendered by these parties.

. **Suppliers and Partnership Performance Questions** For each question below, consider your unit's approach to, as well as the deployment or implementation of the element on all levels within your unit – then put a (√) in the most appropriate column on the right.	**Personal Rating**				**Consensus**				**Response to Consensus**			
	0 ⇩	1 ⇩	2 ⇩	3 ⇩	0 ⇩	1 ⇩	2 ⇩	3 ⇩	0 ⇩	1 ⇩	2 ⇩	3 ⇩
	Not at all	Some progress	Good progress	Fully achieved	Not at all	Some progress	Good progress	Fully achieved	Not at all	Some progress	Good progress	Fully achieved
10. **Measurement of the units perception of its suppliers' and partners' performance.** 10.1 Does my unit have results or data that show that all relevant service agreements are in place?												
10.2 Does my unit have results or data that show trends of improved relationships with partners?												

Criterion 11:   Organisational Results   (38 Points / 15.2%)

SAEF Definition of the criterion Organisational Results:
What the organisation is achieving in relation to its planned organisation objectives and in satisfying the needs and expectations of every one with a financial interest or other stake in the organisation.

Guidelines For Self-Assessment of Organisational Results in a Training Unit
- The assessment according to this criterion will be based on the evidence presented for the assessment of all the "Results Criteria" (Criteria 7 to 10).
- Financial Measurements will include Financial Management, Budget and Expenditure matters within the unit.
- The results criteria are concerned with what the unit has achieved and is achieving. This will be done by assessing the degree of excellence of results, as well as the scope of results.

	Personal Rating				Consensus				Response to Consensus			
	0 ⇩	1 ⇩	2 ⇩	3 ⇩	0 ⇩	1 ⇩	2 ⇩	3 ⇩	0 ⇩	1 ⇩	2 ⇩	3 ⇩
. **Organisational Results Questions** For each question below, consider your unit's approach to, as well as the deployment or implementation of the element on all levels within your unit – then put a (√) in the most appropriate column on the right.	Not at all	Some progress	Good progress	Fully achieved	Not at all	Some progress	Good progress	Fully achieved	Not at all	Some progress	Good progress	Fully achieved
11a. **Financial measurements of the unit's performance.** 11a.1 Does my unit have results or data that show trends in performance against the unit's budget?												
11b. **Additional measurements of the Unit's performance** 11b.1 Does my unit have results or data that show trends towards an improved track record as a specialist in its field of training?												
11b.2 Does my unit have data that demonstrate that facilitators are appropriately qualified to be utilized as ETDPs?												
11b.3 Does my unit have data that indicate the number of learners that have successfully completed their qualifications?												
11b.5 Does my unit have results or data that quantitatively demonstrate continuous support to learners?												
11b.6 Does my unit have results or data that indicate trends in delivering cost-effective training?												
11b.7 Does my unit have results or data that show trends in providing a flexible												

	Personal Rating				Consensus				Response to Consensus			
	0 ⇩	1 ⇩	2 ⇩	3 ⇩	0 ⇩	1 ⇩	2 ⇩	3 ⇩	0 ⇩	1 ⇩	2 ⇩	3 ⇩
Organisational Results Questions For each question below, consider your unit's approach to, as well as the deployment or implementation of the element on all levels within your unit – then put a (√) in the most appropriate column on the right.	Not at all	Some progress	Good progress	Fully achieved	Not at all	Some progress	Good progress	Fully achieved	Not at all	Some progress	Good progress	Fully achieved
service (e.g. schedules, group-sizes, locations or methods of training delivery)?												
11b.8 Does my unit have results or data that demonstrate trends in evaluating training provided in order to update the training where necessary?												

Appendix E

A Simplified Questionnaire for the Involvement of All Staff Members in an Organisational Self-assessment

PERFORMANCE SURVEY

Answer all questions by using the rating system explained in the introduction	☹	☹	😐	🙂	😊	😃
Criterion 1: Leadership						
1.1 Do the leaders in my unit visibly demonstrate their commitment to a continuous improvement?	1	2	3	4	5	6
1.2 Do the leaders in my unit act as role models?	1	2	3	4	5	6
1.3 Do the leaders in my unit search for new Training and Development opportunities and approaches?	1	2	3	4	5	6
1.4 Do the leaders in my unit respond to the needs and suggestions of the units' staff members?	1	2	3	4	5	6
1.5 Do the leaders in my unit support improvement opportunities for unit members?	1	2	3	4	5	6
1.6 Do the leaders in my unit effectively use compliments or awards to encourage improvement?	1	2	3	4	5	6
Criterion 2: Policy and Strategy						
2.1 Do members in my unit contribute to the development of ETD policy and strategy in the wider DOD?	1	2	3	4	5	6
2.2 Does my unit develop unit policy and plans based upon the SAQA Act?	1	2	3	4	5	6
2.3 Does my unit develop unit plans and processes based upon customer requirements?	1	2	3	4	5	6
2.4 Does my unit regularly review performance requirements and performances?	1	2	3	4	5	6
Criterion 3: Customer and Stakeholder Focus						
3.1 Does my unit implement an approach of taking customers and stakeholders needs into account?	1	2	3	4	5	6
3.2 Does my unit use surveys or questionnaires to gather information from all its customers?	1	2	3	4	5	6
3.3 Does my unit implement methods to determine customer satisfaction with the training presented?	1	2	3	4	5	6
Criterion 4: People Management						
4.1 Does my unit develop staff member through their work experience?	1	2	3	4	5	6
4.2 Does my unit budget for staff members to attend training courses, lectures or seminars?	1	2	3	4	5	6
4.3 Does my unit acknowledge and manage cultural diversity within its workforce?	1	2	3	4	5	6
4.4 Does my unit involve all of its membersin continuous improvement activities?	1	2	3	4	5	6

Answer all questions by using the rating system explained in the introduction						
4.5 Does my unit address well-being factors like health and safety in the unit?	1	2	3	4	5	6
Criterion 5: Resources and Information Management						
5.1 Does my unit regularly review the unit's performance against budget?	1	2	3	4	5	6
5.2 Does my unit seek new knowledge (courses, research etc.) that would ensure improved training?	1	2	3	4	5	6
5.3 Does my unit manage logistics according to DOD prescripts?	1	2	3	4	5	6
Criterion 6: Processes						
6.1 Does my unit identify the key processes that would have significant impact on results?	1	2	3	4	5	6
6.2 Does my unit incorporate changing educational technologies into its training processes?	1	2	3	4	5	6
6.3 Does my unit use established SAQA or SETA systems in process management?	1	2	3	4	5	6
6.4 Does my unit design its SOPs to meet quality standards?	1	2	3	4	5	6
6.5 Does my unit design training curricula or courses to meet quality standards?	1	2	3	4	5	6
6.6 Does my unit communicate any process changes to all members in the unit?	1	2	3	4	5	6
Criterion 7: Social Responsibility						
7.1 Does my unit have evidence of improved performance in equal opportunity practice?	1	2	3	4	5	6
7.2 Does my unit have evidence of promoting the quality of life within the community?	1	2	3	4	5	6
7.3 Does my unit have evidence of conservation of resources and the environment?	1	2	3	4	5	6
Criterion 8: Customer and Stakeholder Satisfaction						
8.1 Does my unit have evidence of improved stakeholder satisfaction with training provided?	1	2	3	4	5	6
8.2 Does my unit have evidence that show learners' perception of the quality of instruction or facilitation?	1	2	3	4	5	6
8.3 Does my unit have evidence that show learners' perception of the quality of course administration?	1	2	3	4	5	6
8.4 Does my unit have evidence that show learners' perception of the quality of course material?	1	2	3	4	5	6
8.5 Does my unit have evidence of innovation in training and facilitation approaches?	1	2	3	4	5	6
8.6 Does my unit present training that is accredited by legislative authorities? (e.g. SAQA)	1	2	3	4	5	6

Answer all questions by using the rating system explained in the introduction						
Criterion 9: People Satisfaction						
9.1 Does my unit have evidence of the members' satisfaction with how they are appreciated?	1	2	3	4	5	6
9.2 Does my unit have evidence of the members' satisfaction with their involvement in the unit?	1	2	3	4	5	6
9.3 Does my unit have evidence of successfully addressing any grievances of members?	1	2	3	4	5	6
9.4 Does my unit have evidence of unit members' satisfaction with personnel administration?	1	2	3	4	5	6
9.5 Does my unit have evidence of unit members' satisfaction with the availability of resources?	1	2	3	4	5	6
Criterion 10: Suppliers and Partnership Performance						
10.1 Does my unit have evidence that show that all relevant service agreements are in place?	1	2	3	4	5	6
10.2 Does my unit have evidence of suppliers' and partners' performance levels?	1	2	3	4	5	6
Criterion 11: Organisational Results						
11.1 Does my unit have evidence of improved performance against the unit's budget?	1	2	3	4	5	6
11.2 Does my unit have evidence in continuous improvement relating to training delivery?	1	2	3	4	5	6
11.3 Does my unit have evidence of an improved track record as a specialist in its field of training?	1	2	3	4	5	6
11.4 Does my unit have evidence that facilitators are appropriately qualified to be utilized as ETDPs?	1	2	3	4	5	6
11.5 Does my unit have evidence that that all training requested by the stakeholders were delivered?	1	2	3	4	5	6
11.6 Does my unit have evidence that demonstrate that accredited training is provided?	1	2	3	4	5	6
11.7 Does my unit have evidence that demonstrate innovation in the use of educational technologies?	1	2	3	4	5	6

Appendix F

A Survey to Identify the Benefits of an Organisational Self-assessment and the Implementation of a Continuous Performance Improvement Programme

COLLEGE OF EDUCATIONAL TECHNOLOGY
CONTINUOUS PERFORMANCE IMPROVEMENT PROJECT

	COLET implemented a Continuous Performance Improvement Project and is currently in the process of addressing issues that would enhance our effort to improve the quality management of the unit. **Indicate in the relevant column on the right to what extent you agree or disagree with each of the statements listed below.** **Please complete all the questions**.	5 - Strongly Agree	4 – Agree	3 – Undecided	2 – Disagree	1 - Strongly Disagree
1	My unit will benefit from a Continuous Performance Improvement Project (CPIP).					
2	Now is the correct time to implement a CPIP.					
3	The self-assessment questionnaires increased quality awareness amongst members of the unit.					
4	After completing the self-assessment questionnaire I discussed quality improvement matters with some of my colleagues.					
5	We must also compare ourselves with other ETD Providers.					
6	I understand the method of using the eleven criteria of the SA Excellence Model to assess our own levels of performance.					
7	My unit is involved in applying the basic ideas of quality management					
8	All the members in the unit should be involved in the self-assessment of performance.					
9	I am enthusiastic that the CPIP will improve performance.					
10	The performance self-assessment encouraged members to become personally involved in improvement activities.					
11	I will not be able to personally implement an improvement initiative if it is not introduced as an official unit policy or plan.					
12	I will need more training before I could identify personal improvement objectives.					
13	My unit's mission and goals provide the scope for assessment of performance excellence.					
14	Implementing a CPIP is biting off more than we can chew at this moment.					
15	The performance self-assessment provided the unit members with a sense of direction by illustrating issues that need to be addressed.					
16	The performance Self-assessment created a focus on the criteria of the SA Excellence Model.					
17	Performance self-assessment should only be conducted by the Managers and Team Leaders.					
18	Much more training is needed before a unit member will be able to assess the unit's performance.					
19	After completing the performance self-assessment, members were encouraged to share expertise that would improve performance.					
20	After completing the performance self-assessment, members were more motivated to implement an improvement programme.					
21	Completing the self-assessment questionnaire made me reflect on my own performance.					
22	I will only participate in future improvement actions if my supervisors tell me to do so.					

		5 - Strongly Agree	4 – Agree	3 – Undecided	2 – Disagree	1 - Strongly Disagree
	COLET implemented a Continuous Performance Improvement Project and is currently in the process of addressing issues that would enhance our effort to improve the quality management of the unit. **Indicate in the relevant column on the right to what extent you agree or disagree with each of the statements listed below.** **Please complete all the questions**.					
23	We are doing well in the unit and do not need the changes that an improvement programme could bring about.					
24	Implementing a performance improvement programme can be done without first conducting a self-assessment.					
25	The unit must track its progress over time and observe growth through periodic self-assessment					
26	Many performance improvements have been implemented since February 2004.					
27	We do not have the necessary resources and time to conduct performance self-assessments each year.					
28	I am suspicious that these unit performance self-assessments would identify my shortcomings.					
29	Completing the performance self-assessment made me realize that there are new targets that I could meet.					
30	Completing the performance self-assessment to stimulate improvement has improved staff morale.					
31	The performance self-assessment results will assist the managers to manage their Centres.					
32	Higher levels of performance self-assessment activities and higher levels of improvement are related.					
33	I am tired of always thinking of new ways to improve my performance.					
34	The managers are hesitant to involve me optimally in this Continuous Performance Improvement Project.					
35	Performance Self-Assessment provides the means to educate and develop people in the unit.					
36	The Continuous Performance Improvement Process is a slow process and will only bear fruit long after it has been implemented.					
37	I have not been involved in or implemented any activities that have improved my performance since February 2004.					
38	The performance self-assessment helped me identify opportunities to improve performance.					
39	The performance self-assessment project is an "add-on" activity rather than part of the day-to-day business and therefore only increases the workload.					
40	All the members in the unit should be involved in the CPIP.					
41	I was involved in the Performance Improvement workshop conducted with members of the QE team.	▓		▓		▓
42	I was part of the Performance Improvement workshop involving Centre Managers and Team Leaders.	▓		▓		▓
43	I am currently part of the CPIP Committee as a patron of one of the criteria of the SA Excellence Model.	▓		▓		▓

Appendix G

The Education, Training and Development (ETD) Process

DOD ETD PROCESS

SAQA/DIDTETA Policy Statement DOD Policy and Plan White paper on Defence

Review Mechanisms, Staff Policies, Learner Policies, Assessment Policies, Management Systems and Policies

External Controls

Internal Controls

DETERMINE ETD NEED	DEVELOP ETD OPPORTUNITIES	PRESENT ETD OPPORTUNITIES	EVALUATE ETD SYSTEM

* Learners
* Client operational ETD Specification

Required Learner Body Competency Profile

Designed curriculum to specification

Confirmed Learner Body

Learner Body ETD'ed to Specifications

Determine client competency requirement

Determine current competency of Learning Body

Define client needs

Undertake ETD appretiation

Acquire ETD capability

Validate Learner Body candidates

Conduct ETD activities

Assess learning

Conclude Administration

Validate ETD system

Take corrective action and reinforce practice

Reinforce reinforced practice

Needs Analyst, Designer, Community Liaison, Access Negotiation, Financial Manager, Marketer

Learning Material Developer, Assessor, Teacher Support, Administrator, Manager of Learning Systems, Access Negotiation, Financial Manager, Marketer

Negotiator, Process support, Liaison, Marketer, Benchmarking, Learner Support

Process Support, Marketer, Learner Support

Teacher, Assessor, Learner Support, Teacher Support, Manager of Learning Systems, Administrator, Financial Manager, Marketer

Process Support, Marketer, Learner Support

Assessor, Evaluator, Needs Analyst, Designer, Community Liaison, Access Negotiation, Policy Developer, Financial Manager, Marketer

Validator, Negotiator Process Support, Liaison, Learner Support

ETDP

Client

Enablers

Facilities	Logistics	Personnel	ETDP's	Fin	Equipment	Data	IT	Quality Management System

G-2

G-2