



UNIVERSITEIT VAN PRETORIA  
UNIVERSITY OF PRETORIA  
YUNIBESITHI YA PRETORIA

**AN EVALUATION OF THE EMPLOYEE ASSISTANCE PROGRAMME IN THE  
DEPARTMENT OF CORRECTIONAL SERVICES BENCHMARKED AGAINST  
THE STANDARDS OF THE EMPLOYEE ASSISTANCE PROFESSIONALS  
ASSOCIATION OF SOUTH AFRICA**

**By**

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**Presented in partial fulfilment of the requirements for the degree**

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**At the**

**University of Pretoria**

**Promoter: Prof LS Terblanche**

**PRETORIA**

**JANUARY 2010**



Dedicated to my wife Eileen, and my boys,  
Aveer and Prahiel;  
And to my brother Vinesh and sister Aruna,  
To my mother, Leela  
who taught me perseverance  
and my father Amichund  
who was the epitome of humility...

"Appreciation is a wonderful thing. It makes what is excellent in others  
belong to us as well" Voltaire



## DECLARATION

I do hereby declare that this research report entitled:

**“An evaluation of the employee assistance programme in the Department of Correctional Services benchmarked against the standards of the Employee Assistance Professionals Association of South Africa”**

**Is my own work and that as far possible all sources of information have been fully acknowledged.**

.....  
**PRAVESH BHOODRAM**  
**JANUARY 2010**



## IN APPRECIATION

**My appreciation to the following persons who have contributed to the fulfilment of my studies:**

- "divine knowledge" from mother Saraswati who represents intelligence, consciousness, cosmic knowledge, creativity, education, enlightenment, music, the arts, and power,
- Senior management from the Department of Correctional services especially Ms J Schreiner, Mr S A Tsetsane and Mr H Davids,
- All Heads of Correctional Centres as well as Heads of Corporate Services who participated in the survey,
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- The Department of Statistics at the University of Pretoria, under the leadership of Professor Smith and Dr. Mike van der Linde who assisted with the quantitative analysis of the questionnaire.
- Professor Lourie Terblanche for his patience, leadership and continued support.

**PRAVESH AMICHUND BHOODRAM**



It is not the critic who counts;  
not the man who points out how the strong man stumbled  
or where the doer of deeds could have done them better.

The credit belongs to the man who is actually in the arena;  
whose face is marred by dust and sweat and blood;  
who errs and comes short again and again . . .  
who knows the great enthusiasms,  
the great devotions,  
and spends himself in a worthy cause;  
who at the least knows in the end  
the triumph of high achievement;  
and who, at the worst,  
if he fails, at least fails while daring greatly,  
so that his place shall never be  
with those cold and timid souls  
who know neither victory nor defeat.

~ Theodore Roosevelt ~

## **SUMMARY**

**An evaluation of the Employee Assistance Programme in the Department of Correctional Services benchmarked against the standards of the Employee Assistance Professionals Association of South Africa**

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Department of Social Work and Criminology  
Degree: Ph.D**

In the Department of Correctional Services (DCS), as the role of workers in the workplace changed after demilitarisation in 1996, the needs of the employees also changed. The changing work environment placed different demands on them, unlike those that they had been used to in the past. Because of the growth of personal problems at the workplace, the EAP was introduced in the DCS in the late 1990's. The EAP in the DCS has been formally in existence since 2000 and has not been formally evaluated according to the EAPA SA standards. The EAPA SA standards are the benchmark against which all EAPs in South Africa could be measured. This research attempts to ascertain whether the EAP in the DCS has been implemented according the prescripts of the EAPA SA standards. The research approach involved both the qualitative as well as the quantitative approaches. The qualitative approach was used in documenting the processes

followed in the conceptualisation, introduction and creation of the EAP in DCS. The quantitative approach was used to evaluate the EAP in DCS using the EAPA SA standards as a benchmark.

In the first chapter a general orientation to the study as well as the researcher's rationale and structure for the research is provided. The literature review in chapter two took a retrospective look at the developments in the EAP industry by focussing on the most modern interventions in the EAP field initially and moving to the origins of the EAP later. Chapter three focussed on the evaluation of the EAP in the DCS which included a systematic collection of information about that programme. In chapter four each standard as it appears in the standards document and brief comment on each standard was presented. The standards were also reviewed in relation to recent literature on the subject. The empirical analysis in the following chapter included a quantitative analysis followed by a qualitative analysis of the responses. The first phase included the development of a questionnaire based on the standards. The distribution and completion of the questionnaire were part of phase two. In the final phase the questionnaire was analysed by the the Department of Statistics at the University of Pretoria, under the leadership of Professor Smith and Dr. Mike van der Linde. In the final chapter a consolidation of all the chapters as well as recommendations for further research is presented.

The formulated problem was addressed through the choice of different approaches, strategy and design during the research process. The researcher

was able to combine the research approaches to compare and subsequently verify the findings. Based on the findings the following conclusions can be made: firstly that the DCS does not comply fully with many of the standards as set out by EAPA SA, secondly that the DCS is understaffed when attempting to deliver EAP services and finally that there is a resounding plea for EAP services in the DCS. In addition to the proposals a revised standards document has also been integrated into the findings.





## **KEY CONCEPTS**

**Aftercare**

**Case consultation**

**Counselling**

**Correctional Services**

**Employee Assistance Programme**

**Employee Assistance Professionals Association of South Africa**

**Employee Health and Wellness**

**EAP professional**

**EAP practitioner**

**Head Correctional Centre**

**Management Area**

**Manager**

**Supervisor**

**Well-being**

**Wellness**

## ACRONYMS

AIDS	Acute Immunodeficiency Syndrome
CPD	Continuous professional development
DC	Deputy Commissioner
DCS	Department of Correctional Services
DFWP	Drug-Free Workplace
DPSA	Department of Public Service and Administration
EAP	Employee Assistance Programme
EAPA	Employee Assistance Professionals Association
EAPA Incorporated	Incorporated Assistance Professionals Association
EAPA SA	Employee Assistance Professionals Association of South Africa
EC	Eastern Cape
EHW	Employee Health and Wellness
EHWP	Employee Health and Wellness Programme
FNC	Free State and Northern Cape
G	Gauteng
HCC	Head of Correctional Centre
HIV	Human Immunodeficiency Virus
KZN	KwaZulu Natal
LMN	Limpopo, Mpumalanga and North West
OAP	Occupational alcoholism programmes
OHS	Occupational Health and Safety
OHSA	Occupational Health and Safety Act
OSW	Occupational Social Work
SA	South Africa
SANDF	South African National Defence Force
SAP	Substance Abuse Professional
SAPS	South African Police Service



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US

United States

WC

Western Cape

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## CHAPTER 1

### 1. GENERAL INTRODUCTION

Maiden (2001:125) reflects the 1984 position statement of the National Association of Social Workers as suggesting that problems occurring at work influence people and are often reflected in problems that develop at home or in the community. Similarly, the opposite also occurs where problems at home are conveyed by individuals to their work. It is the researcher's view that the human being is unlike a computer which stores information in different compartments. The human being consists of interrelated parts and what happens to one part undisputedly affects the other. If the employee experiences imbalance / stress in one area / system of his life, it will affect other systems as he is the common denominator in all these systems, and he is changed in some way by this event or experience.

As indicated above, the nature of the workplace is changing. Finding and retaining jobs that can provide a decent income and that are psychologically and socially tolerable, let alone rewarding, is becoming more of a challenge than before, (Barak and Bargal, 2000: 2).

In the Department of Correctional Services (DCS), as the role of workers in the workplace changed after demilitarisation, the needs of the employees also changed. The changing work environment placed different demands on them, unlike those that they had been used to in the past. The challenge for the DCS Employee Assistance Programme (EAP) is to meet both the changing needs of the workers and the demands of the changing work environment, to establish a comfortable fit.

In the workplace, especially in the Public Service, and with specific reference to the DCS; employees face increasing demands - upheaval caused by demilitarizing, severance packages, affirmative action, the

corruption scandals, the adjustment to a new management, and the pressure on newly appointed managers. In the Public Service our changing economy, movement towards increased technological advances, and the changing demographics of the work force all increase the rate of stress-related disorders which can result in an increase in social, physical, and psychological problems that hamper productivity. The EAP was introduced in the Public Service to assist employees who had problems affecting productivity, (DPSA circular 3/3/1/9/26 dated 29 August 1996).

Renewed interest in assisting troubled employees, coupled with increasing demands for effectiveness in the workplace, have led to an upsurge in the development of EAPs. With the increase of the workplace problems that were identified by means of job performance in the workplace, the DCS realised the need of having an EAP.

Burke (2004:24) in *The Journal of Employee Assistance* defines the business of EAPs and how the scope of services has evolved from a clinical emphasis to a focus on workplace productivity. He states that employers from around the world are beginning to realise that business success and the ability to compete globally, are dependent on how well human issues that affect productivity, are addressed.

### **1.1 Basic premises in the Department of Correctional Services**

Presently, 42 000 personnel are employed at 218 prisons and at Head Office (Pretoria) of the DCS. The transformation of the Public Service has been a national priority, and the DCS has had to make several changes to be in tandem with this priority. Several events have occurred since, which have led to uncertainty, stress, and low morale. These include demilitarisation, severance packages, and physical working conditions.

From statistics received from the EAP monthly report since 2000 (as indicated in the Annual Reports), the researcher is of the opinion that the DCS employees are increasingly finding it difficult to manage the physical, mental, and emotional stress in the workplace. EA Practitioners have also indicated in their statistical returns that supervisors and managers are unaware of, or not sensitive to, their own roles in creating stress-related difficulties. Within the Department, there are many common occupational stresses, such as unfavourable working conditions, frustrating demands of managers and prisoners, changing expectations in the workplace, unskilled and autocratic supervisors, and an increased demand for productivity and profitability. These have both a direct and an indirect impact on health and productivity. Stress-related illnesses, poor morale and productivity, and a lack of innovation and commitment are becoming more prevalent.

Mergers, acquisitions, privatisation, and reductions in work forces have contributed to an era of change in the workplace. Prior to 1996, the DCS was a Military organisation with a military work ethic. With demilitarisation, employees were expected to reorganise or change how they worked. The traditional workplace with clearly defined procedures and practices was transformed almost overnight. Job security and a clearly defined and predictable career path have been replaced by a continually changing structure where survival depends on adaptation. The workplace today demands a continuous updating of skills, policies, and procedures.

As the national manager of performance contracts, it is the researcher's opinion that the "new performance contracts introduced by the DPSA for the Public Service" (a relatively new concept in the DCS, which has been introduced without adequate research, training and marketing) are an additional source of stress in the DCS. Employees entering the Department a generation ago had expectations of lifetime employment,

predictable promotion, career paths, and a stable job. All of these have been frustrated by a shifting workplace that faces continual threats to its survival as a Public Service Department. Technological advances have also caused a great deal of stress, especially for older employees.

Employees within the DCS have indicated that a lack of clarity about the performance of their duties leads to role ambiguity. New appointees sometimes have inadequate information about the job to be performed. This can lead to feelings of futility and underutilization of human resources, which is particularly stressful.

Some of the factors that contribute to work stress as perceived by employees of the DCS, in a survey conducted during 19 national workshops in 1999, include:-

- Prior to 1998 no support system existed for employees. Psychologists, Social Workers, and Chaplains employed by the Department were utilized for prisoners only.
- Custodial services place a lot of strain on employees.
- Constant conflict between unions and management.
- Uncertainty and insecurity caused by new policies.
- Lack of training.
- Corruption, favouritism, and nepotism.
- Poor communication.
- Overcrowded prisons and staff shortages.
- Routine work in isolated environments.
- Constant fear for personal safety.
- Autocratic management.
- Lack of understanding of cultural diversity.
- Gangsters and violence in prisons.
- Lack of financial management skills.

- Poorly administered incentive system.
- Transformation and racial tension.

(DCS Employee Assistance Programme report: May 1999)

The factors listed above were also discussed at the Department of Public Services and Administration conferences in 2005 and 2006, and are common to nearly all departments in the Public Service and are certainly common to the DCS. In a changing work environment, employees are faced with increasing demands but with little opportunity for control or support. Employee participation in the workplace has changed from diminished participation in the past to an active role and involvement in the workplace. Some employees are rigid and less flexible, and find it difficult to change the way they work, and as a result they get more brittle, apathetic, and worn down. This leads to low morale, illness, lost productivity, and rigidity of response - the precursors to work burnout, (O' Donnell; 1994: 241).

Organisations that offer greater self-determination and less division of labour leads to more stable employees with less stress, greater satisfaction, more effective work, and greater health. Scott and Jaffe (1991:115) state that empowerment is not just a programme, it is a process of changing mindsets about accountability and self-responsibility, changing relationships to enhance communication and feedback, and changing structures (policies, practices and incentives) so that people have more authority to go with the increased responsibility.

In a briefing session and media conference in 2004, the then Minister of Correctional Services, Mr. Ben Skosana reiterated the problems experienced by employees in the DCS.

He stated in his address: *“it is on the basis of overcrowding in prison that the identification of prisoners during the normal working hours makes it extremely difficult for officials of the Department to execute their duties properly, and this results in late arrivals at magistrates’ courts, and thus delaying the judicial process.*

*Overcrowding has its fair share of problems for officials of the Department. It has already resulted in victimisation and conflict among officials, which have reached alarming proportions. As a result, prisons have become stressful environments to work in.*

*Prisoners are by nature complex individuals to understand and communicate with; they can also be very demanding and where they are, there is always the presence of real danger. I think the time has come for us to assess the possibility of developing coherent and rigorous strategies to establish stress clinics for officials of my Department. They need to be mentally healthy in order to ensure that the vision of the Department is accomplished.”*

The researcher is of the opinion that the Correctional Services’ employee is not only faced with hostile inmates but also with a working environment that contributes to his/her levels of stress. He/she often finds himself/herself working overtime to earn a living. As a result the worker may cut on time spent on various things like eating, sleeping, relaxation, and time spent with family, and most often has no time for exercise.

## **1.2 The Employee Assistance Programme**

EAPs have expanded human resource consultation to offer more services to employers. They have evolved to offer education and prevention services including health promotion, stress, and supervisory coaching



programs. EAP offers a tool that allows supervisors to combine their concern about lowered performance with an offer of assistance.

The EAP should be viewed as an organisational asset, which can play an important role in helping those in positions of authority to resolve complex work performance. The DCS is aimed at delivering a good service to South Africans. Once the EAP policy has been delineated and the roles of those within the organisation have been defined, a means of promoting managerial and supervisory expertise in operationalising the process is required. There is also a growing need to evaluate EAP in the DCS.

According to the EAP Exchange (EAPA International; 1995:07) it is estimated that 18% of the work force are affected by personal problems that can impact on job performance. Of the affected employees, 12% have an alcohol problem or a drug-related problem, and 6% have emotion-related problems. If these problems can be handled in time, productivity can be increased by 25%. The EAP Exchange (EAPA International; 2000:50) also states that EAP orientation to those dealing with employees in an everyday contact can increase referrals by 98%. Individual consultations can also be used to broaden the scope of EAP.

### **1.3 Perspectives on the EAP**

One of the major contributions from North America has been the Employee Assistance Programme. EAPs in South Africa are viewed for the most part as the social conscience of the organisation (Maiden, 2001:100). An important factor is the attitude of the manager towards the role of addressing employee's personal problems. Over the past few years, there has been a proliferation of EAP contractors in South Africa. Many of these are social workers, nurses, and psychologists, and human resource personnel also play a role, (Maiden, 2001:103).

Van Den Bergh, (2000:1) considers EAP as maybe one of the most important workplace innovations of the 20<sup>th</sup> century. She goes on to address two important themes that include the need for workplace-sponsored services, because of the changing demographics of the workplace and the development of intervention skills to help organisations manage crises, change, and evolution. Evolving EAPs should focus on solutions and strengths-based interventions, rather than only assessment and referral models. The researcher believes that this research will assist in determining both strengths and weaknesses of the DCS EAP.

Amaral (in Oher 1999:161) indicates that total quality management, continuous quality improvement, and other quality initiatives are an important part of service industries, and survival may depend on the effectiveness and quality of services. He goes on to add that the development of a core set of benchmarking indicators that will stand the test of time, is necessary. It is the researcher's opinion that effectiveness and efficiency are important in the provision of EAP services. It therefore becomes necessary to determine whether the DCS EAP is performing its functions in accordance with the main benchmark indicator for the profession in South Africa – the EAPA-SA standards.

A global perspective on modern EAPs is provided by Yandrick (in Oher 1999: 179). He discussed Behaviour Risk Management as a new operating paradigm for delivering workplace services. Behaviour Risk Management does not compromise EAP standards, and focuses on three forms:

- Individual;
- Interpersonal/group;
- Organisational.

Yandrick goes on to say that Behaviour Risk Management can help EAPs by strengthening their position and clout in work organisations. The researcher is aware that EAPs need to address the basic issues in

accordance with the EAP standards, which will prepare them for aligning their value and performance with the performance of the organisation.

#### **1.4 EAPA SA standards**

Standards are presented as guidelines for EA programmes and should be adapted without compromising the principles. They have been generated to promote quality EA programmes, to describe the scope of services and to enhance the functioning of existing programmes. EAPA SA (2005:6). The following EAP standards were developed for the EAP profession in South Africa as per the 2005 revised EAPA SA standards document:

Programme design

- Advisory- /steering- / consultative committee

Needs assessment

Service delivery models

Pricing models

Implementation

- Policy
- Policy statement
- Implementation plan

Management and administration

Staffing

EAP consultation and case management

Confidentiality

Record keeping

Professional liability insurance

Ethics

Trauma debriefing

- Crisis intervention

Assessment and referral

Short-term intervention

Monitoring

Follow-up and aftercare

Organizational consultation

Training of managers, supervisors, and union representatives

Marketing

Networking

Networking with internal organizational structures

Networking with external community organizations and resources

Networking with professional organizations

Networking with external agencies

Evaluation

It is the researcher's opinion that if one wants to adopt some or all of the standards listed above, the organisation must first assess and evaluate its existing programme.

## **2. MOTIVATION FOR THE STUDY**

The EAP must be aligned to the organisational goals. Service levels must be clearly defined before they can be evaluated. When the DCS EAP was initiated, it was aligned with the goals of the DCS. The DCS EAP has not been evaluated since inception, and there is a need to determine whether there are elements that are entrenched and running well, or whether there is a need for additional resource allocation to other areas, as well as whether there are efforts that are producing poor results and that need to be terminated. The programme must be revisited over time, as programming needs and workplace conditions change.

The EAP is a relatively new concept in the Public Service in South Africa. On a mandate from the Public Service Commission (circular 3/3/1/9/26 dated 29 August 1996), the Department of Public Service and Administration (DPSA) approved the establishment of EAPs in all

Government Departments. The DCS has the largest and most structured EAP in the Public Service in South Africa. As a result of the initiative taken by the DCS, several Public Service Departments have at some stage or the other consulted the researcher to assist with aspects of the EAP.

These departments include:

- Building Works;
- Public Works;
- Transport;
- Justice;
- Environmental Affairs and Tourism;
- Water Affairs and Forestry;
- National Treasury;
- Education;
- Health;
- SAP;
- Agriculture;
- Defence Force;
- DPSA;
- Labour;
- Home Affairs;
- Road Accident Fund;
- Secretariat for Safety and Security;
- Eastern Cape Provincial Department of Agriculture;
- Several Premiers' offices; and
- The Office of the President.

Several Public Service Departments have established EAPs, but are experiencing difficulties in their programmes. A lack of knowledge on establishing an in-house EA programme in the broader Public Service has motivated the researcher to undertake this study. The researcher felt that,

as the DCS already has an established programme, it would be necessary to document and share the expertise with the broader Public Service after evaluation of the DCS programme, in order to greatly improve the effectiveness of EAPs, and in doing so to contribute to the SA Governments' vision of **“a better life for all.”**

A national wellness workshop was conducted by the Department of Public Services and Administration (DPSA) on 7-8 April 2005 to consolidate inputs from Government Departments on employee wellbeing. The DPSA Employee Health and Wellness (EHW) component facilitated the workshop. Some sessions were led by assigned working group process facilitators.

The workshop report followed the agreed agenda with observations and recommendations from the participants included in the general body of the report. The workshop stemmed from recognizing that a narrow focus on HIV and AIDS, albeit important, does not address the directly and indirectly linked health and wellness needs of public service employees. An integral part of the DPSA's approach to the EHW policy and strategy development process is to retain the centrality of HIV and AIDS as a core workplace strategy, while incorporating a broader policy and strategy to address the health and wellness needs of public service employees.

The researcher also has a professional interest as Past President (2002 – 2005) of the Employee Assistance Professionals Association of South Africa (EAPA SA) in the establishment of the EAP profession in South Africa. The researcher is aware of the vital role that a positive, motivated and healthy employee (vision of DCS EAP) will play in the rehabilitation of offenders.

The EAP in DCS was conceptualised in 1997, and the researcher was appointed as Deputy Director to oversee the process of implementing the EAP in the DCS. Research in the EAP field in both the private and public sectors commenced, and the first EAP practitioner was appointed in October 1999. EAP services were delivered in the DCS in February 2000, when many of the practitioners commenced work. The EAP in DCS has not been benchmarked against the EAPA SA standards for the EAP profession. This research will enable the DCS to define deficiencies in its programmes. This research will also serve to guide other organisations (according to EAPA SA standards) that would like to establish EAPs.

The research ethics committee of the DCS, guided by Ms. J. Schreiner (Chief Deputy Commissioner: Functional Services) and Ms. J. Sishuba (Chief Deputy Commissioner: Development and Care), has advised the researcher in several meetings during the course of 2005/6 in this evaluation of the EAP.

As the Past President of EAPA SA, the researcher has had the opportunity to consult with several experts in the field. A presentation on the proposal was made to the EAPA SA Board in 2006. The following members received the presentation: Lourie Terblanche, Nono Motlounge; Mannini Radebe; Siyabonga Nkosi; Bob Marara; Tony Kanengone; Dawie Spohr ; Anchen Pienaar; Andre van Jaarsveld, Andre Beugger and Kenneth Matabane. The following comments received from the Board Members were included in the research proposal:

- Basic premises in the DCS
- Comments on the Correctional Services environment
- Behaviour risk management
- DPSA wellness workshop

### 3. PROBLEM FORMULATION

The New Dictionary of Social Work (1995:45) states that problem formulation is the process of “defining the phenomena into which research is carried out.” Mouton (1996:42) in De Vos (2005:99) states that there are three factors determining the manner in which research problems are formulated, the unit of analysis, the research goal and the research approach. Bless and Higson–Smith (1995: 29) refers to the research problem as general questions about relations between two or more variables. It is stated in the form of a question.

It has been widely acknowledged that the use of EAP services in most companies have helped employers to notice the social needs of their employees, especially those considering having healthy employees. Masi (1992:1) states that, as early as the 1980’s, many employees would have been reprimanded or even fired, because of the problems they have. Traditionally, employers felt that employee problems were to be dealt with privately, at a distance. Employees in the past felt that their employers were disinterested in personal concerns and difficulties, however recently major changes in these kinds of attitudes and perceptions have occurred with the development of EAPs, designed to deal with employee problems that may affect workplace performance (Masi, 1992:1).

The success of EAPs depends on the support of the management of the organisation and the involvement of supervisors. The supervisors are the primary source of helping in identifying the troubled employees, and the EAP also serves as an aid for them in dealing with the problem of poor work performance that is associated with personal problems.

With the growth of personal problems at the workplace, EAPs were developed in most SA companies and organisations to deal with those problems. The DCS has undergone phenomenal change since 1994. In



as much as many new changes have been made; very little has been done to re-engineer the work. There has been change, but the work to be completed by fewer employees has stayed about the same. There is also an accelerated pace of technological change, which, coupled with a lack of management skills by supervisors, often leads to employees taking increasing amounts of time off from work. The pressure for continual innovation and adaptation, and the changing demographics of the work force leads to an increase in the rate of stress-related disorders, and many believe that they cannot do much to overcome its negative effects. Has the EAP in DCS been effective in managing stress? Has the EAP been effective in managing pressures, and has it evolved effectively since inception? How has the EAP in DCS adapted to the changing demographics of the workplace? The retention of EAPs has been a problem for the DCS, as 18 practitioners had resigned. Operational problems are being experienced which may negatively impact the programme. These and other questions need to be addressed, and while this research may not address all the problems mentioned above, it will serve to evaluate the DCS EAP by reviewing the pilot project, national workshops, processes, procedures, staffing, financial, programme, facility, marketing, training and evaluation models of the DCS against the EAPA SA standards.

The problem is formulated as follows: The EAP in the DCS has been in existence since 2000 and has not been formally evaluated according to the EAPA SA standards. This has resulted in a lack of evidence to be used to adapt or improve the EAP. The EAPA SA standards are the benchmark against which all EAPs in South Africa can be measured. It is therefore necessary to ascertain whether the EAP in the DCS follows the prescripts of the EAPA SA standards.

#### **4. PURPOSE / GOAL AND OBJECTIVES OF THE STUDY**

##### **4.1 Goal:**

The goal is to evaluate the development of the EAP in the DCS in South Africa according to the EAPA SA standards.

##### **4.2 Objectives**

The following are the objectives of the study:

- To explore and describe, through a literature study, the factors influencing the establishment of EAP standards in South Africa.
- To explore, evaluate and describe the factors influencing the establishment of the EAP in the DCS.
- To benchmark the EAP in DCS against EAPA-SA Standards in order to evaluate the functioning of the DCS EAP.
- To provide conclusions and recommendations on improving the functioning of the EAP in the DCS.
- To develop criteria for future evaluation of the EA programme in the DCS.
- To serve as a guideline for other EAPs in the Public Service.

#### **5. RESEARCH QUESTION**

Research always commences with one or more questions or hypotheses. Walliman (2005:217) indicates that the term “hypothesis” should be used in its strictest scientific sense, that there are alternatives to formulating a hypothesis, and that a hypothesis should be tested in order to provide evidence to support or reject the existence of the stated relationship between the variables. He also goes on to say that subject of the research question gives a clear indication of the subject to be investigated. Questions are posed about the nature of the real situation while the hypothesis is a statement about this situation. According to Cresswell (1998:99), research questions are open-ended, evolving, and non –

directional, restate the purpose of the study in more specific terms, and start with words such as what or how, rather than why.

Based on the above information, the questions in this study will be the following:

- **What are the processes that contributed to the development of the EAP within the DCS?**
- **Is the DCS aware of the EAPA-SA standards document, and if so, what is their take on it?**
- **How do the processes and standards of the EAP within the DCS compare with those set standards prescribed in the EAPA SA Standards document?**
- **How efficient is the DCS EAP with regard to the existence of each of those standards and the efficient functioning thereof?**

## **6. RESEARCH APPROACH**

The research approach in this study has been both qualitative and quantitative in nature. De Vos (2005:357) indicates that according to Mouton and Marais (1990:155-156) the quantitative approach is that approach in the social sciences that is more highly formalised and more explicitly controlled, and which, in terms of the methods, is relatively close to the physical sciences.

Within qualitative research, different methodologies exist and subscribe to different epistemological and ontological assumptions that comprise and provide distinctions about the research process, (Guba, 1990:146).

The qualitative approach has been used in documenting the processes followed in the conceptualisation, introduction and creation of the EAP in

DCS. The quantitative approach has been used to evaluate the EAP in DCS using the EAPA SA standards as a benchmark.

Creswell (1998) discusses a “two-phase approach” in which a researcher can conduct a qualitative phase of a study as well as a separate quantitative phase. The researcher used the qualitative approach to analyse the implementation of the EAP in DCS and the quantitative approach to analyse adherence of DCS to EAPA SA standards in their implementation of the EAP.

According to Bless and Higson–Smith and Kagee, (2006:44) in nearly all cases the line between qualitative and quantitative methods is somewhat blurred, and a comprehensive study will include both methods. Silverman (2005:9) indicates that qualitative researchers are prepared to sacrifice scope for detail and that quantitative researchers seek detail in certain aspects of correlations between variables. He goes on to say that qualitative researchers find detail in the precise particulars of such matters as people’s understandings and interactions. The researcher has attempted to understand how the DCS has implemented the EAP as well as to quantify how many correctional centres apply the EAPA SA standards. The degree to which these standards are applied or adhered to has also been examined.

## **7. TYPE OF RESEARCH**

Evaluative research forms part of applied research. The most appropriate type of the research in this study will be evaluative research. Patton (2002:217) indicates that the purpose of applied research is to contribute knowledge that will help people understand the nature of a problem in order to intervene, thereby allowing human beings to be more effective in controlling their environment. Applied qualitative researchers are able to bring their personal insights and experiences into any recommendation

that may emerge. Evaluative research examines and judges the processes and outcomes aimed at attempted solutions. Evaluative research can also be conducted on any attempt to solve problems.

Bless and Higson–Smith and Kagee (2006:58) indicate that evaluative research may be needed to identify areas of need, effectiveness, and usefulness of a programme. Programmes can be evaluated so that they can be improved and to determine the extent to which programmes meet their specified aims and objectives.

Fouché and De Vos (2006:108) indicate that when we are asked, or feel compelled, to evaluate an existing programme, we are undertaking programme evaluation, and that evaluation researchers use social research methodologies to judge and improve the ways in which human service policies are conducted, from the earliest stages of defining and designing programmes through their development and implementation. Programme evaluation was originally focussed on finding out whether a programme works. The researcher has had the same intention in mind in finding out whether the EAP in the DCS works through a data-based enquiry. The researcher also used the EAPA SA standards to ascertain whether the implementation, processes, and outcomes were achieved by requesting management to complete a questionnaire.

The development of the EAP in the DCS can be viewed as the development of an innovative solution to the problems experienced by employees in the Public Service, and this process has been evaluated according to the EAPA SA standards. In as much as the EAP is an old concept, especially in the United States and the UK, it is a relatively new concept in Government in South Africa. There has not been an established internal EAP within the entire Public Service in South Africa prior to the establishment of the EAP in the DCS. Therefore the

establishment of the EAP in DCS, as the first and largest EAP in the Public Service in South Africa, can be seen as the producer of knowledge upon which other Government departments can build. An evaluation of the EAP in DCS, according to EAPA-SA standards, has also exposed deficiencies that can be attended to, as well as best practices that other departments can use. Evaluative research forms part of applied research.

Patton in Fouché and De Vos (2005:108) indicates that programme evaluation involves the systematic collection of information about a programme, with the intention to make judgements, improvements, and informed decisions about future programming. An evaluation of the DCS EA programme has focussed on the collection of information on the conceptualisation and implementation of the programme, with the intention of determining whether the programme has been effective and whether it complies with EAPA-SA standards.

Yamatani (1993:65) presents ten types of evaluative studies for an Employee Assistance Programme:

- Service needs
- Compliance or legality
- Program adequacy
- External resources
- Program effort
- Program effectiveness
- Program benefit equity
- Client satisfaction
- Cost/benefit
- Program constraint analysis

## 8. RESEARCH DESIGN

A research design is defined as the plan of a research project through which data is gathered in order to investigate the hypothesis or to realise the aim (The New Social Work Dictionary, 1995:63). Bless, Higson–Smith and Kagee (2006:71) define research design as a programme to guide the researcher in collecting, analysing and interpreting the observed facts. It is a specification of the most adequate operations to be performed in order to test specific hypotheses under given conditions.

Leedy and Ormrod (2005:135) indicate that qualitative studies typically serve one of the following purposes:

- Description
- Interpretation
- Verification and
- Evaluation

The researcher used the evaluative approach to judge whether the DCS introduced the EAP effectively by utilising the EAPA-SA standards. Leedy and Ormrod (2010:137-145) describe five common designs used in qualitative research.

- Case Study – a particular individual, programme or event is studied in depth for a definite time period
- Ethnography – researcher studies entire group
- Phenomenological Study – researcher studies people's perceptions, perspectives and understanding of a particular event
- Grounded Theory – researcher uses a prescribed set of procedures for analysing data and developing a theoretical model from them
- Content Analysis – researcher attempts to identify patterns, themes or biases by examining a particular body of knowledge

The researcher followed the case study design by focusing on the introduction of the EAP in the DCS by collecting extensive data from annual reports, pilot projects, as well as workshops – which fits into the qualitative approach.

Evaluative research refers to the general processes of evaluating something. De Vos (2005:367) refers to evaluation research as the systematic application of social research procedures for assessing the conceptualisation, design, implementation and utilisation of social intervention programmes. While the EAP is not a new concept, its introduction in the DCS was new and innovative. De Vos (2005:368) also argues that if we feel compelled to evaluate an existing programme, then we are doing programme evaluation. Patton (2002) in De Vos defines programme evaluation as the systematic collection of information about the activities, characteristics, and outcomes of programmes to make judgements about the programme, improve its effectiveness and / or inform decisions about future programming. EAPA SA standards (2005) will be used to evaluate the EAP in the DCS.

## **8.1 Data Collection**

Strydom and Delport (2005:314) indicate that the method of data collection within the context of qualitative research involving the study of documents is neglected. Primary sources of written material as well as secondary sources will be used. Bailey (1994:294) defines official documents as structured and formal that they are kept by large organisations such as government institutions. The researcher analysed and interpreted all documentation available in the DCS on the introduction of the EAP including documentation on national workshops and pilot projects. Data was collected from the DCS' annual reports, memorandums, and the DCS national workshops, as well as the DCS EAP pilot project in the EAP. The qualitative component is covered in the



in the questionnaire of the quantitative component – requesting respondents to provide data of a qualitative nature.

Parker and Rea (2005:3) indicate that surveys have become widely used and acknowledged as a research tool. Surveys as a research technique in the social sciences has derived considerable credibility from its widespread acceptance and use. They go on to say that if a researcher needs personal self-reported information that is not available elsewhere, and if generalisation of findings to a larger population is desired, sample survey research is the most appropriate method.

The researcher also carried out a survey as the method of data collection by using a questionnaire as the data collection instrument. The New Dictionary of Social Work (1995:51) defines a questionnaire as “a set of questions on a form which is completed by the respondent in respect of a research project.” The basic objective of a questionnaire is to obtain facts and opinions about a phenomenon from people who are informed on the particular issue. Both closed and open-ended questions were used.

Fouché and De Vos (2005:137) refer to the randomised cross-sectional survey design in quantitative research designs (as one of two designs that are commonly used with surveys) as the data-collection method. The researcher has identified the population as the DCS, and used a questionnaire based on EAPA SA standards to survey all Heads of Correctional Centres (senior management) in the DCS.

Where Heads of Correctional Centres were not available or appointed, the Head of Corporate Services was requested to respond. Questionnaires were e-mailed to these managers. Data collected from the questionnaires were analysed. Kruger, De Vos, Fouché and Venter (2005:218) advocate a good data management system for easy storage and retrieval of data.

A third method of data collection was applied – although not planned from the planning stage of the research project. This method of data collection – which should also be described as qualitative research – was collection of data through means of focus group interviews. The need for this additional application of data collection arose from the fact that the researcher and his promoter were members of a Workgroup on EAP Standards of the Employee Assistance Professionals Association of South Africa (EAPA-SA). This particular Workgroup was task to revise the existing Standards document and to release this third version of the mentioned document on behalf of the EAPA-SA Board. Although it was not planned to include the results of the Workgroup, i.e. the 3<sup>rd</sup> version of the Standards document, permission was obtained from the members of the Workgroup – during one of the work sessions - to utilise the information for purposes of this study.

## 8.2 Data Analysis

For the **qualitative study**, data was analysed in the following manner: Information from the DCS annual reports were used to document the progress made in the EAP in DCS. In De Vos (2005:333), mention is made of reducing the volume of raw information, sifting the most relevant information, identifying patterns, and eventually communicating the essence. Documentation on the DCS national workshops and workgroups was a source for determining the type of programme that was implemented in the DCS. The pilot project conducted by the DCS was analysed to determine whether it was aligned with the EAPA SA standards.

Creswell (1998:312) indicates that data analysis involves the following steps:

Organising details of the case

- Arranging source documentation on implementation of the EAP in the DCS in chronological order
- Categorisation of the data
  - Clustering the data into the work sessions
- Interpretation of data
  - Examining the workshop reports
- Identification of patterns
  - Benchmarking the needs analysis against EAPA SA standards
- Synthesis and generalisations
  - Constructing an overall picture of the EAP in DCS by looking at the pilot project conducted in the DCS

Regarding the **quantitative study**, data was analysed in the following manner:

According to Strydom (2005a:214) whether the data is to be analysed manually or by computer, most statistical analyses, as is often imperative in the quantitative approach, require that the data be in the form of numerical codes. The data gathered was analysed and interpreted for easy utilisation. The graphic presentation in numerical format and tables were used to interpret and analyse data for use. The statistics section under Professor Smit and Dr. Mike van der Linde from the University of Pretoria assisted in analysing the data.

Data collected through means of the focus group interviews – also part of the qualitative component of the study – was analysed with the assistance of the members of the mentioned Workgroup and is presented as Annexure A of this report.

## 9. PILOT STUDY

Maxwell (2005:56-58) identifies an important use of pilot studies. He indicates that pilot studies help to develop an understanding of the

concepts and theories held by the people you are studying. De Vos (2005: 205) advocates a pilot study, as this will ensure that procedures are suitable, valid, reliable, effective, and free from problems and errors, and that precautions against problems that may arise from the study are obviated.

### **9.1 Feasibility of the study**

According to Bless and Higson-Smith (2000:154), a feasibility study is “a study designed to determine whether a particular strategy or intervention is likely to reach its stated objectives.” One should therefore be certain that a planned project is viable, before investing a large amount of money.

A written request was submitted to the DCS to further the research study. A personal contact had also been made for assurance of the chance of being permitted for conducting research. Written permission had been granted. Costs were kept to a minimum, as the researcher had no sponsor for this research. Respondents work in the DCS and were available for the study.

### **9.2 Pilot test of the data-collection instrument**

With regard to the quantitative part of the study:

Walliman (2005:282) indicates that a questionnaire should be pre-tested on a small number of people, so as to anticipate any problems of comprehension or other sources of confusion. A small number of Heads of Correctional Centres (3) were used to test the measuring instrument and were not part of the final respondent group. The researcher piloted the questionnaire with 3 Heads of Correctional Centres in close proximity to the researcher, and edited the measuring instrument after the pilot was completed. The pilot study was executed in the same way as the main study.

With regard to the qualitative study:

No data collection instrument as such was applied, as existing documentation was utilised in order to obtain data.

## **10. DESCRIPTION OF THE RESEARCH POPULATION, DELIMITATION/ BOUNDARY OF SAMPLE AND SAMPLING METHOD**

### **10.1 Population**

According to Bless, Higson-Smith, and Kagee, (2006:98) population is the entire set of elements that the researcher focuses upon to determine some characteristics. Seaberg in (Strydom and De Vos, 1998:190) defines the term population as the total set from which the individuals or units of the study are chosen. Population includes the totality of persons, events, organisations, units, case records or other sampling units with which the research problem is concerned. Neuman (1997:202) describes the population as the large pool, which has an important role in sampling. The researcher also agrees that population is the important role-player in performing the research study, because without the population to select the sample from, no research can be performed.

The research population of this study included all 230 Heads of Correctional Centres from DCS – throughout the country.

### **10.2 Sample and sampling method**

As a research population itself may often be too large to study, a sample can be drawn. Sampling is the act of drawing a sample from a population. Bless and Higson-Smith (1995:87) define a sample as a representative of a whole. According to the Dictionary of Social Work (1995:55), “a sample is a number of units in the population concerned.” A sample therefore is a representative portion of the population concerned.

The researcher, together with consultation with his internal guide (Chief Deputy Commissioner Sishuba appointed by the research and ethics committee in the DCS), as well as after discussions with senior management, has identified DCS employees that would be best representative of the DCS population. All Heads of Correctional Centres in the DCS were targeted for the study, and as a result no sampling was done. Heads of Correctional Centres had been selected for this study, because they are managers responsible for Correctional Centres as well as for the implementation of the EAP in their respective areas. They are also in a position to assess the EAP as well as implement recommendations. There are 230 Heads of Correctional Centres in the DCS, and all were included in the study. They are located throughout the country, and consist of all racial groups, and are also representative as far as gender is concerned.

## **11. ETHICAL ISSUES**

Ethical acceptability is a primary issue in any research study. Usually, the ethical standards in question have to do with service clients. Grinnell (1997:58) states that client confidentiality is always a concern, since many researchers request access to clients and /or client's files. According to Fouché (2005:118) ethics is a set of moral principles which is suggested by an individual or group, is subsequently widely accepted, and which offers rules and behavioural expectations about the most correct conduct towards experimental subjects and respondents, employers, sponsors, other researchers, assistants and students.

Different authors identify different ethical issues. Bless and Higson-Smith, (1995: 103), Strydom, (2005b: 58-66) and Babbie (2001:439-445), mention the following ethical issues for social research:

- voluntary participation for respondents,
- no harm to the participants,

- anonymity and confidentiality,
- no deceiving of subjects,
- analysis and reporting,

Bless and Higson –Smith (2000: 103) also mention other ethical issues which had been mentioned by Babbie (2001), i.e. privacy, voluntary participation, anonymity, and confidentiality.

- Voluntary participation for respondents

All Heads of Correctional Centres included in the research sample were informed in a covering letter attached to the questionnaire that participation is voluntary. They were also informed that the reason for evaluation of the programme was to ensure compliance with EAPA SA standards and that gaps identified in the programme would be addressed collectively. An 'Informed consent form' was developed, and each respondent was requested to sign this form prior to completion of the questionnaire.

- Harm to respondents

The research does not involve any dangerous situation that the respondents must engage in. As only facts are required, there are no emotional matters to engage into. Respondents were informed thoroughly in advance about the potential impact of the study. Respondents were also informed that their participation would not harm their employment situation. Sensitive and personal information of respondents was not collected in the research. The research itself would have positive consequences for the respondents, in that they would be able to identify both positives and weaknesses in the EAP system and that they would be able to address these.

Walliman (2005:347) indicates that ethical research is aimed at causing no harm but also at producing some gain for the participants. Participants were reassured of the benefits to all employees of the research. The researcher assured respondents that the research would not harm the dignity, reputation, or privacy of subjects.

Strydom in De Vos (2005:58) states that all respondents must be informed beforehand about the potential impact of the investigation, allowing them to withdraw if they wish to. It is also stated that respondents' cooperation must be requested respectfully and research must be explained.

- Confidentiality and anonymity

Bless, Higson-Smith and Kagee (2006:142) indicate that confidential information provided by respondents should be protected and not made available to anyone. The participant responses will be anonymous, because privacy is assured in this way. In this study, the participant's identity will not be displayed on their responses, therefore responses will be anonymous. Respondents were informed about the objectives of the research, so that accurate and complete information could be provided. Respondents' could ask questions on the nature and purpose of the research. The researcher respected the respondents' freedom to participate, and did not coerce them into participating. It was necessary to obtain informed consent. Although respondents would not be disclosing personal matters, they would be emailing their responses and confidentiality was guaranteed. The questionnaire was completed at the respondents' convenience and as there was no personal contact with respondents their responses were anonymous. Each form had an identification number for follow up and this was explained to respondents to ensure that they understood that this was for tracking and it would not jeopardise confidentiality. As the respondents are scattered throughout South Africa the most viable and cost effective option for the researcher



was email. Strydom (2005b: 61) indicates that respondents should not be deceived and that if this happens inadvertently, it must be rectified immediately. Respondents were informed in advance by mail and the letter approving the research in the DCS was attached.

- Negative findings.

The researcher was also guided by an internal guide that was determined by the DCS. The DCS has its own research and ethics component that approves research in the Department. This committee appoints a very senior manager to mentor and guide the researcher. It is also important to identify oneself as a researcher to the respondents in the study, because deceiving people is unethical. Negative findings were also reported if it was related to analysis.

- Deception of respondents.

Strydom (2005b:61) believes that no form of deception should be inflicted on respondents and if this happens inadvertently, it must be rectified. The researcher did not withhold any information or mislead subjects by way of written or verbal instruction. Walliman (2005:345) indicates that any dishonest means of persuasion such as posing as an official must be avoided. Subjects should not be misled or coerced into participating. Participants will be fully informed about the research as far as it affects them. The researcher also ensured that he did not give false information about his background, reasons for the study and anticipated outcomes Walliman (2005:364).

- Release of findings

Strydom (2005b:65) indicates that in releasing the findings, information must be formulated and conveyed clearly and unambiguously. The researcher was aware of the following: accuracy of information, objectivity, plagiarism, and shortcomings. The researcher ensured that recipients

were informed about the findings through the publishing of the research as well as in articles in the DCS magazine.

- Good working relationship

Finally, respect will be maintained at all-times to maintain a good working relationship for the study, and even after research. Bless, Higson-Smith and Kagee (2006:146) also discuss relationships with organisations and say that organisations will be interested in learning the results they have supported. The DCS should be interested in the results of the research to improve and inform the EA programme. It is therefore necessary to give feedback of the research findings so that they can be of maximum use and improve the lives of people involved. Bless, Higson-Smith and Kagee (2006:146) also say that research is also about making informed decisions about what needs to be changed by appropriate feedback, so that peoples' lives can be improved. The findings of the study will be introduced in written form. The report will be as clear as possible for everyone to understand, and will be submitted to the DCS as well as to the University of Pretoria.

## 12. DEFINITION OF KEY CONCEPTS

- **Benchmarking**

Benchmarking is a process in which organizations evaluate various aspects of their processes in relation to best practice companies' processes, for the purposes of comparison. This then allows organizations to develop plans on how to make improvements or adapt specific best practices, usually with the aim of increasing some aspect of performance according to Robert (1994:225).

- **Employee Assistance Programme**

According to Bruce (1990:4) an EAP refers to a programme designed to meet specific problems of employees by utilising professional human services and personnel, on either a contractual or an employment basis, to meet the needs of troubled employees.

“An EAP is a worksite-based programme designed to assist in the identification and resolution of productivity problems associated with employees impaired by personal concerns including but not limited to: health, marital, family, financial, alcohol, drug, legal, emotional, stress, or other personal concerns which may adversely affect employee job performance,” (Standards Committee of EAPA, SA, 2005:4).

The primary function of the EAP is the prevention and treatment of psychological and social functioning (such as alcohol and drug dependency, marital and family malfunctioning, and emotional and behavioural malfunctioning) which could have a negative impact on the employee’s job satisfaction, as well as the efficiency and quality of work rendered by officials employed by the organisation.

According to the researcher, EAP is the programme aimed at helping employees deal with their social, emotional, and psychological problems that may impair job performance.

- **Evaluation**

Evaluation is the systematic determination of merit, worth, and significance of something or someone using criteria against a set of standards. “An evaluation is a systematic, rigorous, and meticulous application of scientific methods to assess the design, implementation, improvement or outcomes of a program” (Rossi, Lipsey, & Freeman, 2004).

- **Head of Correctional Centre**

A head of a correctional centre is a manager in the DCS responsible for a Correctional Centre (prison). A head of correctional centre is appointed in terms of the Correctional Services Act.

- **Management Area**

A management area is a geographically demarcated area consisting of a number of prisons in close proximity. A management area is determined by a number of factors including offender population, employees as well as geographical location.

- **Standards**

A Standard is defined in the EAPA SA standards document as the agreed level of best professional practice or description of the ideal situation with the purpose of enhancing the quality and functioning of existing Employee Assistance Programmes

### **13. LIMITATIONS OF THE STUDY**

The findings in the current research appear to be compelling, and make a significant contribution to the EAP field as well as the understanding of the implementation of the EAP in the DCS. However the current research essentially is limited, and subject to flaws. The current research acknowledges several limitations that should be noted to help with interpretation of the results. This section aims to provide the limitations of the research with particular reference to the research design, scope of the research, measures used, statistical analysis of the results, and lack of EAP practitioners.

There are several limitations of this study and they include:

- The involvement of the University of Pretoria statistics department only occurred after the data was collected. The researcher was only

informed that the involvement of the University of Pretoria statistics department was necessary after the questionnaire had been developed and administered and the data collated. The statistics department should have been involved from the outset with the development of the questionnaire as well.

- At the time of administering of the questionnaire, only 18 EAP practitioners remained in the DCS and the rest had resigned and not been replaced. This may have caused some of the respondents to answer the questions negatively as stated by some of the respondents.
- Most of the management areas did not have EAP practitioners at the time of the data collection and as a result many HCC's did not answer all the questions.
- Those who did answer the questions responded negatively to all or most of the questions if there was no EAP practitioner in their management areas. This has skewed the results in the direction of no feedback and negative responses.
- The research Department from the DCS took almost a year to finalise the approval for conducting the research.
- The questionnaire was developed based on the ideal situation – the implementation of all the standards and the availability of EAP practitioners in all management areas.
- EAP is still in its infancy in SA and has not matured in the DCS.
- The scope of the research was too large – perhaps only selected standards should have been used – combination of qualitative and quantitative.
- The sample used in this study is small, when compared to the number of employees in the DCS. However, the sample size was adequate to indicate general trends and find significant relationships, in an explorative manner.
- The questionnaires should have been administered to those areas that had EAP practitioners and compared with those that did not.

- The inclusion of the revised standards occurred as the thesis evolved and was not part of the initial plan. The focus group discussions, however, were planned and managed to add value to the standards document. The Implementation of the focus group discussion was an interactive process. Each focus group discussion built on the previous one. Although the inclusion of the revised standards was an afterthought, it has added tremendous credibility to the research in providing a new blueprint for the EAP in South Africa.
- Statistical analysis, which may examine the impact of the above demographic information (region, race group, age and gender), was not conducted. Thus, this point limited the scope and depth of the analyses and findings in the current research.

## **CHAPTER 2**

### **LITERATURE REVIEW - THE EMPLOYEE ASSISTANCE PROGRAMME**

#### **1. INTRODUCTION**

This literature review presents a retrospective overview of the developments in the EAP industry by initially focussing on the most modern interventions and thereafter moving to the origins. The literature review will also attempt to reflect on existing standards associated with these interventions and benchmarks during the evolution of the EAP. In trying to understand EAPs as they exist today it is necessary to define the context within which they have developed both within South Africa and the United States. This entails a review of the historical background, definitions of EAP models and relevant service delivery as well as factors that have influenced the development of EAPs through choice, core technology, and criterion set for maintaining standards. This literature study will trace the evolution of EAP and will cover crucial issues that have shaped modern EAPs, including the development of occupational social work (OSW) in countries around the world. EAPs as they exist today are a result of decades of evolutionary processes, which have not only been influenced by the history and dynamics of the countries that they have originated in, but also organizations which house them and occupational groups that have taken the responsibility to cultivate human service needs.

#### **2. HISTORY OF EAP**

##### **2.1 Modern trends in EAP**

Prohofsky (2007:27) traces the evolution of EAPs. She indicates that EAPs were established in the mid-1940s to address substance abuse issues. This objective did not change much over the next 30 years but by the mid-1970's there were other challenges that employees were facing that had to be addressed. Some of the concerns included marital concerns, family issues, and prescription drug abuse, all of which began to

fall under the expanding realm of EAPs. Prohofsky goes on to say that EAPs have continued to evolve, promoting wellness, productivity, and work/life balance services to meet the burgeoning needs of a diverse global work force.

Epstein and Rubin (2007:13) further elaborate on the globalisation of EAP by stating that workforce performance and productivity issues are not confined to national borders. They are of the opinion that EAPs should not only be provided within a countries' borders but that multinational organisations with locations around the world are also responsible for providing EAP resources to work forces within multiple locations globally which includes employees from diverse cultures, religions and races.

## **2.2. Value of EAP**

While standards for EAPs were only introduced in South Africa in the late 1990's and in the United States prior to this, the success of modern EAPs is based on demonstrating their value. This is echoed by Jorgensen (2007: 16) in his article on demonstrating EAP value. He states that EAPs provide many services including counselling, critical incidence responses, support for management, and many more; yet EAPs are unable to demonstrate effectively the calculable extent of how valuable they are to organisations. EAPs need to demonstrate that they belong to the world of work and not just to the world of health care. Both the pricing model (standard no. 4) and evaluation (standard no. 27) of the Employee Assistance Professionals Association of South Africa's (EAPA SA) standards document support Jorgensen's idea of communicating to organisations what EAPs do in real terms as well as providing verified evidence in a format that employers and human resource managers understand, appreciate and want.

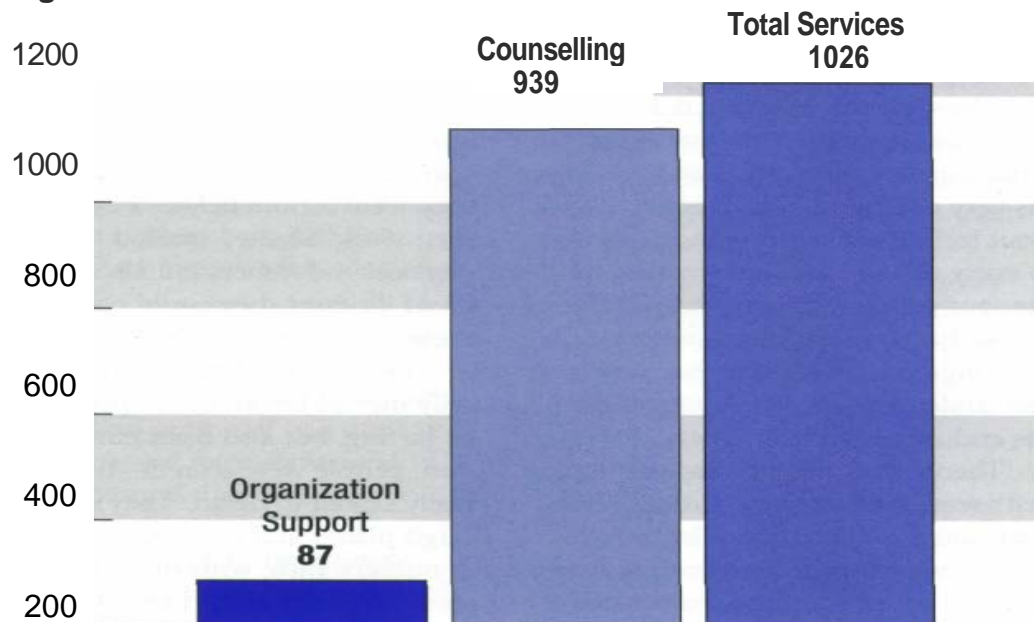


Jorgensen (2007: 16) elaborates further on how to demonstrate service effectiveness and EAP value. He indicates that the EAP industry has fallen into the trap of trying to communicate value simply by utilisation and supporting whoever can produce the highest number of attendees at the lowest cost. The employer does not necessarily win but the contractor does. There is a need to calculate value, demonstrate value and communicate value. The impact summary (below) as indicated by Jorgensen (2007: 16) measures the total approach as a balanced scorecard would.

### EAP Impact Summary

A full-service EAP provider offers a wide variety of services in addition to employee counselling. It is this synergistic combination of clinical and organizational support services that maximizes the economic benefit for client organizations. Service utilization data for 2005, of a large organisation that provides an EAP service to its employees in the United States of America, is displayed below.

**Figure 2.1 Service utilisation data – USA - 2005**



**EAP impact score 16%** - organisational support services-87; counselling services-939; total EAP service contracts-1026; organisational population-6500

The EAP Impact Summary is a balanced scorecard approach to measuring the total value of all EAP services to an organization. It is calculated from actual contacts made with an organization's employees and managers, including counselling, workplace training, crisis response, and management consultation. It does not include peripheral contacts such as mailings, e-mail, or telephone inquiries. The EAP Impact Score is a predictive indicator of the expected value for the organization under current utilization of EAP services.

### **2.3 EAP and risk management**

Modern EAPs are also being confronted with ethical, compliance and legal issues and employers are starting to look for ways of managing behaviour. Gaipa (2006: 12) proposes that EAPs position themselves under a behaviour risk umbrella. She states that risk management is not about things being chaotic and totally out of control but rather about how you can prevent those things from happening. Early intervention is the highest form of risk management. She uses health care data to help determine what's going on within the organisation but is similarly aligned with the world of work. EAP can interface with the behaviour risk model by getting involved at either individual or organisational levels. EAPs are even consulting with senior management in different parts of organisations depending on their expertise. Consultation processes within the organisation can include legal, compliance, risk as well as financial aspects. Gaipa (2006: 12) defines behaviour risk management as a re-engineering process of two workplace issues, namely loss prevention and the cost of managing people. Conflict resolution, sexual harassment, and ethical violations can all be grouped under the cost of managing people.

From the information presented thus far, the researcher understands that the prevalence of EAPs can be attributed in part to the fact that employee assistance programmes save employers money by helping the

organisation retain skilled workers and enhance workplace performance. Have we been successful, then, at demonstrating to South Africa that EAP is an investment rather than an expense, and a viable productivity tool rather than a social service programme? The question remains how best to position the EAP to enhance behaviour risk management? We still have some way to go. EAPs in South Africa must evolve to the levels where data can be used to confirm the value of the EAPs in business terms.

#### **2.4 Strategic positioning of EAP**

Phillips (2006: 18) states that as individuals, work organisations, and society itself grow increasingly complex, EAPs continue to evolve in tandem. Initially EAPs offered short-term focussed solutions to alcohol abuse and related employee behaviours that contributed to poor work performance. The EAPs have since evolved to not only expand as far as implementing strategic objectives is concerned but also in elaborating on service offerings and delivery models. Customised programmes, tailored to specific organisational needs, have replaced the standardised 'one-size-fits-all' model.

Phillips (2006: 18) makes another interesting observation in emphasising the challenge of merging these innovations with the organisations overarching objectives. This is still a challenge for most organisations as the EAP industry continues to struggle to make the strategic connection and too often is relegated to simply another human resource initiative. Phillips advocates the broadening of our horizons by attempting to halt acquiescing and to instead embark on innovation by taking three basic steps:

- Educate and be educated

It is important for those involved in EAP business development and account management to be focussed on the bigger picture, namely

evaluating and enhancing the complete organisation and not only a single department. Linking the EAP to the organisation's overall corporate strategy is vital. It is necessary to be well acquainted in terms of goals, concerns, problems and successes of the organisation. It is also important to empower the key contact person with information and insights in understanding the EAP advantage as well as delivering the benefits of a strategic EAP to the organisation's executive management.

- Influence key decision-makers

It is necessary to meet with the client's leadership team to establish a rapport that can demonstrate to those in charge of forging the vision and mission, that EAP can be effectively positioned to achieve strategic objectives. It is also an opportunity to demonstrate how the EAP can achieve a meaningful and lasting impact by:

- Containing benefit costs
- Influencing profitability
- Improving employee retention
- Boosting productivity
- Improving the organisation's status as an employer of choice
- Attracting and retaining the best and brightest employees.

Organisations with a work force mature in age will be concerned more with comprehensive health care including nutritional information, prevention and management of diabetes, age-appropriate exercise, osteoporosis and obesity. Organisations with a younger work force will be interested in promoting issues such as preventing absenteeism, child care, work life balances and parenting issues.

- Customise, customise, customise

The importance of being able to demonstrate how an EAP can effectively meet the needs of specific groups of employees must be stressed. Real

world examples of customisation must be provided. For instance, an information technology manager may be interested in engaging in on-line counselling while a retail salesman may want to understand how to address people with complex requirements or demands or how to resolve a diverse range of conflict situations. Phillips concludes by stating that if EAPs want to flourish, they must move from the traditional position which is generally one-sided or focused on a single entity to one that is more varied, that understands and responds both to corporate strategists as well as front line workers.

The researcher understands that EA Professionals often find themselves in the uncomfortable position of being challenged to justify their existence within organisations. Managers should be made to understand that there is a need for data that confirms the value of the EAPs in business terms. The researcher also supports the view that the importance of conducting research on Employee Assistance Programmes should be elevated so that services and dissemination of findings to enhance productivity can aid the positioning of the EAP as a strategic partner. This, in the opinion of the researcher, is not happening on a large scale in South Africa.

## **2.5 Training of modern Employee Assistance Professionals**

Otterstein and Jacobson (2006: 13) focus on the demands required by modern EAPs as far as training and life experience are concerned. Their article is grounded on recent disasters and catastrophes that affected the workplace. The 2005 hurricanes in the United States, 2005 London Bombings, the 2004 Asian Tsunami, and the events of September 11, 2001 are some of the disasters that have highlighted the need to expand crisis intervention services within organisations. Otterstein and Jacobson found that locating missing workers, managing internal and external communication, restoring and maintaining business continuity and

addressing personal and professional challenges are issues that employers value.

EAPs that provide a broad base of support to the organisation and its corporate functions are increasingly demonstrating their value as strategic partners. The provision of this broad base support has necessitated an improvement in the levels of training required to supply these interventions. This essential stipulation has raised the dilemma that formal crisis intervention training is incomplete without real-life experience training. This may suggest that some EA Professionals may not be adequately equipped to offer workplace crisis intervention services. Otterstein and Jacobson (2006:13) also focuses on ways that EAPs can assist businesses in planning and responding to potential large-scale workplace disasters and cite three areas of intervention.

- Response vs. management

EAPs are increasingly being called upon before, during and after workplace crises as the expert model to facilitate behaviour risk management. There is a need for EAP consultants to work cooperatively with senior management through the development of task-specific training to enhance skills that will alleviate crises affecting a corporate management team; EAPs can assist in the development and training of the team. Sometimes the disaster response becomes an elevated disaster on its own if not managed properly. One of the key functions of the EAP is connecting corporate clients with appropriate crisis management and response consultants as well as to eliminate potential problems relating to communication.

- Communication and rumours

Communication within the organisation, between employees and sometimes family members is a critical service that EAPs can offer an

organisation. Crisis communication requires establishing an understandable means of interaction, appropriate use of language to facilitate accurate interpretation, quick responses to rumours and authentic verification of information. Otterstein and Jacobson (2006: 14) also advocate the following checklist of activities:

- Be proactive
- Match resources to needs
- Offer individualised services
- Support communication
- Become a corporate consultant

- Seeing the larger picture

Sometimes businesses pick up where they left off after the crisis subsides. Yet in cases where the crisis is deemed traumatic, a follow up response is required. The plan of action however must be planned in advance to incorporate vital aspects to facilitate the restoration of the business; the same applies to conducting a formal evaluation of the response comparative to risk management.

Masi and Paul (2002: 13) conclude that it is critical to develop and define the most effective channel of communication should a disaster occur. Response to the September 11, 2001 event required unparalleled organisational and professional collaboration within the employee assistance field. A survey was developed to measure satisfaction levels with services provided as well as to ascertain the organisational impact of the terrorist attacks on both managers and employees and their perceived needs. Select interviewees were asked to evaluate the effectiveness of services in the following categories:

- Individual services
- Group services
- Management consultation

- Web services
- Educational material

Responses from managers and employees indicated that while the majority of needs were adequately met they believed that they were ill-equipped to deal with the challenges posed by the events. In short, the responses indicated that existing disaster recovery and trauma response plans were inadequate. Organisations were ill equipped to impart or distribute pertinent information in a quick and effective manner. Some managers stressed that they would have liked access to more information on how to deal with their employees' emotional reactions. Communication and dissemination of materials are critical in a disaster situation of this magnitude.

The researcher is of the opinion that not all EA Practitioners are adequately trained in South Africa. The chief reason for this is that the programme is relatively new and there are many different EAP alternatives available in today's market, with numerous organizations and individuals claiming program expertise. Unfortunately there are no generic standards and key performance indicators for the broader Public Service where most EAPs are employed in South Africa. One of the reasons for its existence is that employee assistance has become a profitable, market-driven business.

## **2.6 EAPs and comprehensive wellness programmes**

Moeller-Roy (2005: 24) states that by viewing employee health as an asset to be managed, employers can use health promotion and wellness programmes to instil pro-active behaviour and a healthful mindset among workers and encourage them to make smarter health choices. Moeller-Roy also advocates defining organisational goals and illustrating how health programmes fit into the overall strategic plan. Employee assistance



professionals can enhance the value of health programmes by assessing organisational needs, planning strategies and making their services available as functional resources within a burgeoning industry.

Beuermann-King (2005: 29) talks about the competitiveness within industry and the reliance on comprehensive health and wellness programmes to maintain an edge in the marketplace. She indicates that the focus on health promotion as a global objective has evolved from crisis intervention, involving personal assistance and prevention to health promotion that includes environmental and organisational issues. Originally the focus of workplace health fell on issues such as the handling of chemical substances; yet, merely addressing the potency and effects of these hazards was inadequate to sustain the health of employees. Employees were expected to resolve personal and mental issues on their own and often lost their jobs if they failed. EAPs were initially formed to help those employees who were in danger of losing their jobs because of addiction problems. The scope of employee assistance programmes has gradually evolved to include mental health, financial, legal and various 'crises' events. Throughout this evolution EAPs had one resolve – to help employees to return to previous levels of productivity.

Beuermann-King (2005: 29) also states that over time wellness programmes emerged which focussed on a more preventative orientation. She also indicates that employers can be held liable if workplace stress makes it difficult to maintain a healthy lifestyle and pursue healthy practices. Benchmarking includes what you currently know about your employees and incorporates current costs of stress programmes, compensation, short and long term disability, absenteeism patterns, retention rates, productivity and quality costs, current status of employee health, stress and satisfaction levels and current wellness programming. Beuermann-King goes on to say that job functioning includes not only

safety, fitness, nutrition, health monitoring and health benefits but also training and development, reward and recognition, team building initiatives, conflict and problem solving initiatives as well as strategies and communication programmes.

Beuermann-King (2005: 29) stresses the importance of a comprehensive evaluation process and that the measurements of wellness programmes need to be tied to overall business outcomes.

Karch (2005: 32) states that the health promotions field will be busier and under more pressure over the next ten years to deliver quantifiable results than at any time since its inception in the 1960's. In their infancy wellness programmes focussed in some cases on a single risk factor – cardiovascular disease and cardiovascular rehabilitation programmes for executives. In the 1980's some progressive corporations expanded their wellness programmes to include all employees and not just serving executives. By the 1990's the focus had evolved from disease prevention to health promotion. For a company to prosper into the 21<sup>st</sup> century, health promotion programmes must encourage employees to adopt a positive attitude to wellness and to live healthier lives while effectively managing existing risks. US companies have also been forced to take a more proactive approach to wellness because of rising health care costs. There has been a migration of many subsets promoting the cause of wellness, including health and safety, employee assistance, insurance, recruitment and maintenance. Today well designed and well operated wellness programmes bring a diversity of resources to bear on the goal of improving and maintaining the health of workers and their dependents.

## **2.7 EAP and Work Life**

Herlihy (2002: 10) analyses the core components of work/life and employee assistance to determine whether they can be integrated. A

survey of more than 1000 employee assistance and work/life professionals was conducted in 2001 to determine the extent of integration of their respective programmes. Employee assistance and work/life fields operate on both micro and macro levels. Contemporary EAPs focus on linking individuals to resources in the community providing consultation on health care provider services while work/life professionals similarly provide direct services to individuals such as life-cycle consultation and child or elder care referral, and also consults with the work organisation on broader issues, including enhancing the work environment and community initiatives.

The survey conducted by Herlihy (2002: 10) also indicated that there is collaboration between the programme and integration at macro levels. One in six respondents considered themselves both an EA professional as well as a work/life professional. This has given rise to new models of service delivery where strategic partnerships are being created between EA professionals and work/life vendors.

## **2.8 EAPs and Organisational Culture**

Mor Barak (2002: 19) reflects on the preparation of EA professionals and the challenges of creating an organisational culture in an age of globalisation. She states that the next generation of EA professionals will have to practice in an increasingly diverse environment where business will blur national boundaries. There is an ongoing struggle throughout the world with hostile inter-group associations, including prejudice, discrimination, and even violence as a result of increasing workforce heterogeneity. The challenge for management is to fully understand the dynamics of diversity and identify ways to divest itself from all prejudicial attitudes to effectively unlock the creativity embedded in a multicultural workforce. The composition of the workforce is constantly changing because of immigration, worker migration and gender and ethnic

differences. Many migrants are fleeing upheavals or even violence in their native lands while others seek economic opportunities.

Barak (2002: 19) goes on to say that the inclusive workplace is defined on four levels as an organisation that:

- Accepts, values, and utilises individual and inter-group differences within its workforce
- Cooperates with, and contributes to, its surrounding community
- Alleviates the needs and utilises the potential talents of disadvantaged groups in its wider social and ecological environment
- Collaborates with organisations across cultural and national boundaries

EA Professionals will have to intervene in organisations to:

- Instil knowledge of diversity, discrimination, and empowerment and initiate interventions on diversity training, support and mentorship programmes
- Collaborate with communities to facilitate effective partnerships
- Facilitate the inclusion of immigrants by creating a receptive environment as well as focussing on the challenges of affordable child care and transportation
- Establish programmes to overcome cultural barriers and promote collaboration in multinational work teams

The researcher is convinced that employees want to feel cared for and are motivated in different ways to behave in a way conducive to organisational improvement i.e. becoming more team orientated, cutting costs and developing degree of efficiency output. Organisational culture is the social glue that helps hold an organisation together. The role of EAP and organisational culture in influencing employee behaviour appears to be increasingly important in today's workplace.

## 2.9 EAPs and future growth

Blair (2002: 21) on providing added value to employers indicates that the EAPs role as the employer's expert consultant on human dynamics in the workplace has diminished. This has occurred because the responsibility for EAP has been delegated to benefits departments rather than human resources while budget limitations have forced EAPs to concentrate on immediate needs of individuals at the expense of larger organisational issues. In addition, employers often fail to take advantage of organisational services offered by EAPs. There are also many EA Practitioners who sit in a corner waiting to be called upon; while these practitioners are regarded as an employee benefit they are seldom viewed as critical to an employer's human resource mission.

Blair (2002: 21) mentions the following value indicators of EAPs:

- Utilisation
- Professional expertise
- Consultation
- Solving difficult problems
- Initiative.

Blair (2002: 22) also advocates the following for the future growth of EAPs:

- Align with the company's human resource objectives
- Think and act strategically
- Revisit the EAP core technology and professional standards
- If it is not an EAP, it should be called something else
- Work with organised labour
- Become proactive and consultative
- Define your consultation as valuable in and of itself
- Stay abreast of trends in the workplace.

The following steps can be taken by employers, according to Blair:

- Reconsider your expectations for your EAP
- Test your EAPs ability and willingness to take on a consultative role
- Demand that your EAP function has a strategic ally
- Be willing to pay for quality.

The researcher agrees with the view that the responsibilities for EAP has been relegated to benefits departments and that in South Africa budget limitations and a lack of direction have forced EAPs to concentrate on immediate needs of individuals at the expense of larger organisational issues. The researcher is also aware that many EAPs are not proactive and instead of taking the initiative wait to be summoned; the researcher agrees with the author that these EAPs are regarded as an employee benefit but not viewed as critical to an employer's human resource mission.

Herlihy, Attridge and Turner (2002: 10) cited their findings after surveying 801 members of EAPA, 70 members of the Employee Assistance Society of North America and the Association of Work Life Professionals. The following were the key survey findings:

- Approximately one in six survey respondents consider themselves both an EA professional and a work/life professional. This finding was consistent across all three organisations.
- There is a significant level of collaboration/integration at the service level. The overlap of services tends to be non-core areas of each profession, except among what may be called a 'new breed' of professionals who seem to provide services across core areas of both professions.
- Respondents generally agreed that collaboration or some form of integration is better for the employee and employer than two separate focused programmes. They expressed ambivalence,

however, about the impact of collaboration on professional identity and the identity of each practice field.

## **2.10 EAPs and human capital**

Attridge (2001: 39) on the role of EAPs in managing human capital states that since the focus is on 'human' capital it is necessary to manage it as effectively as 'physical' capital. Pressures such as low employment, increased productivity, and rising health care costs are focusing employees on attracting and retaining talented employees. He goes on to state that not only is business advocating the human capital approach but academic institutions are conducting research on wellness issues. This provides an opportunity for EAPs to integrate their work with that of the organisation. Clinical approaches are giving way to holistic interventions.

Maynard (2001: 28) reflects on the next generation of EAP in his article, stating that it is vital for EAPs to recognise problems presented by their client's in a developmental context as this will enable them to devise appropriate assistance plans thereby motivating clients to collaborate with them. Maynard goes on to state that history and environmental situations greatly influence how people handle inevitable transformations, transitions and innovative tasks. EAPs need to position themselves as a resource for understanding normal behaviour through the interpretation of an employee life cycle. They can then assist an employee through consultative procedures to fathom concerns such as retention, motivation, and self-development challenges.

The researcher recognizes that to make intelligent choices between options, human resource (HR) managers need to understand underlying philosophies with regard to what different EA programmes seek to accomplish, where to position them and how to ensure the best return on investment. How then does one make an informed decision if one does

not understand the core business of the EAP? This very dilemma, according to the researcher, must be resolved before the EAP can be positioned in an organisation.

### **3. HISTORY OF OCCUPATIONAL SOCIAL WORK AND LINKS TO EAP**

As has been stated in the introduction to this chapter, EAPs exist today as a result of decades of evolutionary processes which have been influenced by the history and dynamics of the countries that they originated in. It is therefore necessary to present an overview of the history of Occupational Social Work, one of the professions that contributed significantly to the development of EAPs in the United States and other parts of the world. This field did not play a causative role but was rather one of the professions of choice when OAP's were taken under the umbrella of EAPs. Occupational social work found a place in EAPs and helped it develop into a comprehensive service, including assessment, short term counselling, referral, consultation to supervisors, training and employee education programs. The focus of the next few pages of this literature study will be on the international relationship between occupational social work and EAP.

#### **3.1 Occupational Social Work and EAP in Australia**

Logan (2001:1) describes the development and current practices of occupational social work in Australia, which is seen as a specialised work practice that assists the individual to adapt to work culture and changing environments. In the late 1940's the Social Services Department expanded to meet the demands of a welfare state. New schools of Social Work emerged and in the 1960's and 1970's workers received training in child care, foster care and home care. During the 1970's practitioners were obligated to charge fees for services in order to stay in business. By the end of the 1980's and early 1990's the process of rationalisation and downsizing, as a direct consequence of restructuring and privatization,



resulted in a decline in the demand for occupational social workers. However, they soon merged relevant services with employee assistance programmes to enhance treatment outcomes, thus re-establishing demand for Occupational Social Work and EAP.

The researcher believes that the Social Work profession in Australia has a good foundation of knowledge and skills especially in dealing with its multicultural society. This foundation is necessary for solving work-related problems and can be built on by the EAP.

### **3.2 Occupational Social Work and EAP in Germany**

Gehlenborg (2001:17) provides a history of the development of occupational social work in Germany. The loss of the First World War, the devastation of the economy, and mass unemployment were the context of the occupational social work's first years in Germany. Occupational social work was relegated to work welfare from 1945 to 1960. Between 1960 and 1980 the occupational social work profession evolved to focus on increased productivity as well as assisting employees to overcome personal problems. Occupational social work was only introduced in the last 30 years in service industries such as insurance companies, banks and aerospace firms. No mention is made of employee assistance programmes in the article.

The researcher is of the opinion that the evolution of OSW in Germany has been patterned on social, economic and political changes in that country, and that these changes have played a decisive role in determining a professional profile contributing to a healthier and more productive work place.

### **3.3 Occupational Social Work and EAP in India**

Siddiqui and Sukhramani (2001:43) describe in an article the development of occupational social work in India, as follows: The term occupational social work can be seen as synonymous with industrial social work. Social workers were therefore employed in welfare programmes run by the state and private sector organizations. Initially they were responsible to supervise conditions of work such as wages, working hours, leave, and social security benefits which eventually expanded to also include industrial relations, personnel management and eventually human resource management. The duties of the welfare officer also included supervision, counselling, advisory services, and liaison with employees and management as well as outside agencies. The link between occupational social work and EAP is not mentioned in the article.

The researcher believes that while the link between OSW and EAP is not clearly defined in the article there is promise for this correlation as the scope of work includes counselling and support services for employees who have problems that might affect productivity.

### **3.4 Occupational Social Work and EAP in Ireland**

Maria Powell (2001: 65) traces the origins of occupational social work in Ireland. The country's comprehensive health care services are provided by its social system and it is within this system that occupational social work operates. In the early 1900's the welfare movement focussed on benefits offered to workers by employers to socialise the workforce. The next major evolution to affect occupational social work was the human relations approach of focussing on problems created by policies within work organisations. The latest development has been the emergence of the EAP resulting in a multidisciplinary approach to the provision of occupational social work in the workplace. It was found that in some instances, organisations tended to overlap their occupational social work

and EAP services. The Confederation of Irish Industry has been supportive of this move. Several EAP practitioners from different disciplines, including personnel and human relations managers, occupational health nurses and addictive counsellors, are involved in the delivery of Employee Assistance Programme services. EAP practitioners are therefore of diverse backgrounds with varying academic qualifications. In recent years several institutions now offer training courses in the field of EAP and occupational social work services.

The types of problems EAPs address are not different from those encountered in the realm of occupational social work in Ireland; however, there is insufficient research to make a clear distinction between the practice of EAP and occupational social work services. The future development of these services will depend on the involvement of educational structures as well as relevant qualifications obtained from tertiary institutions. Such developments will have to include the unique facets of education developed by proponents of EAP as well as the more traditional broader based skills of the social science graduate.

### **3.5 Occupational Social Work and EAP in the United States**

The evolution and practice of occupational social work in the United States has in some way influenced the development of the profession in all the countries listed above. (Maiden, 2001: 119) states the following with regard to the development of occupational social work in the US: Social services emerged in the early 1900's from the welfare movement. However, occupational social work did not gain a foothold in the workplace because it was perceived as a management tool to subvert unionisation. The view that there was no place for industry in psychosocial case work prevailed for several decades. The emergence of EAPs in the 1970's saw resurgence in workplace human service delivery. Occupational alcoholism programmes (OAP), which began in the 1940's, were the predecessors to

EAPs. Programmes staffed by recovering alcoholics to assist and provide counselling for alcoholic employees heralded the beginning of a new era of social service programming. Recovering alcoholics; although effective in intervening with the alcoholic employee, were not skilled in techniques to perform mental and social problem intervention. EAPs broadened the scope of services of the OAP and occupational social workers were employed to fill the unique roles as generalists.

EAP focused on job performance by drawing attention to the interrelationship between personal problems and their impact on job performance and productivity. Today a more proactive role is assumed by the EAP that focuses on early identification and resolution of identified problems. The occupational social worker in an EAP also focuses on providing supervisory training and management consultation as well as the reintegration of employees into the workplace once they have undergone treatment.

Managed behavioural healthcare emerged to ensure the delivery of cost-effective quality healthcare through selective contracting and channelling of members to selected service providers. This move provided new opportunities to advance aspects of behavioural healthcare, especially for occupational social workers. Feinstein and Brown (2001:142) list the skills needed by occupational social workers relevant to corporate social responsibilities:

- Organizational skills
- Planning and policy making skills
- Political and legislative skills
- Interpersonal and small group skills
- Administrative skills
- Strategy design and implementation skills
- Promotion and communication skills.

The researcher believes that access to these essential skills add value to organisations. The modern EAP is grounded in the human resource management consultation orientation, and offers a wide range of opportunities to support managers to carry out their responsibilities, while the skills listed above are an adequate guideline to form that foundation. The modern EAP is most likely equipped to provide crisis management, trauma debriefing, and employee counselling in response to organizational downsizing and other types of worksite transformations. The researcher is also of the opinion that these programmes have been instrumental in developing new services such as HIV/Aids, legal counselling, financial administration and disability management, and making it assessable to all employees. It is also evident to the researcher that some of the services listed above can be expanded into the risk management and prevention aspects of job performance.

Shank (2001:143) includes other roles and responsibilities of occupational social workers:

- Human resource policy consultation
- Legislation analysis
- Health and welfare benefits administration
- Social research
- Community development
- Consultation
- Data analysis
- Administration
- Community planning.

Maiden (2001: 155) states that the EAP is offered with four enhanced services as far as the case management model of EAP is concerned:

- EAP case management would assume a more proactive approach. Long term follow up (up to a year) on a regular basis, depending on the needs of the participant, is necessary.
- Mentoring programmes designed to provide support, direction, skill building, and encouragement would be provided by the EAP case manager.
- Supervisory training to detect and resolve problems that affect productivity should be an obligatory commitment for all supervisors.
- EAP services should be broadened to include issues such as housing and transportation.

The researcher is of the opinion that different intervention strategies are needed to assist employees to overcome the challenges present in their personal and work lives. It is the responsibility of the EAP to match the client with appropriate intervention and resources and utilise the appropriate case management model and enhanced services as indicated above.

### **3.6 Occupational Social Work and EAP in South Africa**

The development of occupational social work in South Africa is traced in the article by Du Plessis (2001:97). The welfare system in the 1930's focussed on whites as the primary recipients of services, but which were entrenched in 1948 when services were structured separately by the government. Employee assistance services in South African workplaces can be traced as far back as the 1930s with its roots in the field of Occupational Social Work, which developed within the context of the Welfare System and Apartheid System of Government. Up until 1994 when the first democratic elections took place, services were segregated. One of the major influences from North America has been the EAP. Du Plessis (2001:100) indicates eight factors that either facilitated or hindered occupational social work in South Africa.

- Individuals championed occupational social work because of personal commitment
- Industrial relations procedures where some managers sought outside assistance while others chose to deal with problem employees in-house
- The retrenchment of social workers when times were tough
- The influence of lobbyists like the South African National Council for Drug and Alcohol Abuse (SANCA) to employ social workers
- Prevailing managerial views in respect of assisting employees through counselling
- The lack of union involvement in promoting the feasibility of occupational social work in South Africa
- Socio-political changes created opportunities for social workers
- The approach by qualified social workers to market their services to prospective employers and the education institutions in placing newly graduated social workers with organisations.

In the late 1990's a proliferation of EAP contractors emerged who were often classified as social workers. While occupational social workers also work within EAPs, social workers have become the preferred profession for staffing EAPs in South Africa. Nurses, psychologists and human resource personnel are also taken into consideration to staff EAPs. A popular trend emerging in South Africa is the outsourcing of EAP/occupational social work functions, which has resulted in a number of companies being created. Mental health however has not been a priority because the focus has been on the gross violation of human rights, poverty, unemployment and the state of the education system. Unions have been engaged in battles for better living wages and other conditions of service.

The researcher can identify with the factors listed above and finds that the same factors are hindering the development of the EAP in South Africa. EAP has been championed by individuals rather than private companies and the government. When the researcher approached the Department of Public Services and Administration (DPSA) in 1999 to champion the EAP as a broader vehicle to address wellness, he was informed that the DPSA was focusing only on HIV/Aids. Albeit, the researcher was allowed to edit and amend the manual on HIV/Aids for government departments and included, wherever possible, references to the EAP. The researcher has also been instrumental in ensuring that the narrow focus on HIV/Aids has been widened to include other areas of wellness and consequently championed the role of the EAP in driving the concept of addressing wellness. The researcher has delivered several presentations since 1999 at annual DPSA conferences on the role of the EAP in HIV/Aids and broader wellness issues. Elaborating the correlation between the EAP in HIV/Aids culminated in a resolution being adopted in 2000 on the integration of employee counselling on HIV/Aids into wellness activities. The researcher has also held several meetings with the DPSA and has been successful in ensuring that the narrow focus on HIV/Aids has been broadened to include issues of Occupational Health and Safety, EAP, spirituality as well as Sport and Recreation.

The retrenchment of social workers has not happened in South Africa since the introduction of the EAP in the early 1980's. The researcher however concedes that the shortage of social workers in the country will impact negatively on EAP service delivery, purely because the profession of choice for the EAP in South Africa is social work.

The researcher agrees with Du Plessis that union involvement is sadly lacking and that organised labour has not been as involved in the EAP field as is the case in the United States. In order to generate active



participation, the researcher has over the past five years delivered several presentations to organised labour, which has resulted in some unions implementing EA programmes.

### **3.6.1 Training in Occupational Social Work**

In 1986 the University of the Witwatersrand offered a full-time specialist course in occupational social work; and from 1991 as a part-time Masters Degree. The University of Pretoria taught EAP as a module of the Masters Degree. The early nineties also saw two groups contribute to the needs of occupational social workers in South Africa, namely The Forum for Occupational Social Work (which still exists today) and the Southern Gauteng EAP Workgroup whose purpose was to provide mutual support and education. Links with EAPA International were also explored during this period. The Institute for Personnel Management has over the years made a very significant contribution to the development of EAP and it was through this association that practitioners became involved in looking at EAP as a profession. It was the Institute for Human Resource Management that formed the National EAP Committee in 1989. This later evolved into the South African Chapter of the Employee Assistance Professionals Association in 1997.

Du Plessis (1991:35-36) contends that EAPs in South Africa developed for several reasons. She states that some Employee Assistance Programmes were formed to seek alternative ways of managing poor performance and emphasized program cost effectiveness while others were set up to express the concept of 'internal' social responsibility. Du Plessis also stated that the Durban-based SANCA's Information and Preventative Services played an important role in the training of EAP Coordinators since 1982. Workplace assistance in dealing with alcoholic employees was offered by some SANCA Societies; they extended their services to assist companies to develop substance abuse policies and EAP services

as well as prevention and education programmes.

### **3.6.2 Legislation and EAP in South Africa**

Legislation has played a significant role in the development of EAPs in South Africa, despite the fact the no EAP-specific legislation had been formulated to date in South Africa. In the context of this study, it is also important to take note of the views of Yamatani (1993:68) who indicates that the evaluation of any EA programme should also take into account the issue of legal compliance:

- Compliance or legality assessment – determine whether EA programmes comply with legal rules and regulations.

His focus on the compliance with established rules and regulations; operating procedures as well as policies are important for the EA practitioner and the researcher has included the relevant legislation in this chapter. By providing an environment where the health and wellbeing of employees are protected legislation also, albeit indirectly, provides a mandate for EAP services. The right to Health Care is contained in the Bill of Rights in the Constitution. The Labour Relations Act 66 of 1995 places a duty upon employers to manage incapacity by investigating the cause and providing the opportunity for appropriate treatment, counselling and rehabilitation as opposed to outright dismissal. EAPs are often used as the means to provide the “opportunity” for correcting behaviour and facilitating compliance of the employer to this Act. Employers are entitled to demand acceptable conduct and work performance from their employees. However, they also have a responsibility to help employees who are experiencing difficulties by offering counselling after evaluating the relevant circumstances to prevent unfair discrimination. The EAP professional also has a responsibility toward the organisation to deliver services determined by the nature of the employee’s problem. If necessary the EAP professional should refer the employee to an appropriate outside agency for further evaluation and treatment.

a) **Quotations from Labour Relations Act No. 66 of 1995**

Schedule 8: Code of Good Practice: Dismissal.

“1. Introduction

(1) This code of good practice deals with some key aspects of dismissal related to conduct and capacity.

(3) The key principle in this Code is that employers and employees should treat one another with mutual respect. A premium is placed on both employment justice and the efficient operation of business. While employees should be protected from arbitrary action, employers are entitled to satisfactory conduct and work performance from their employees.”

“3. Misconduct

(2) The courts have endorsed the concept of corrective or progressive discipline. This approach regards the purpose of discipline as a means for employees to know and understand what standards are required of them. Efforts should be made to correct employees’ behaviour through a system of graduated disciplinary measures such as counselling and warnings.

(5) When deciding whether or not to impose the penalty of dismissal, the employer should in addition to the gravity of the misconduct consider factors such as the employee’s circumstances (including length of service, previous disciplinary record and personal circumstances), the nature of the job and the circumstances of the infringement itself.”

“8. Incapacity: Poor work performance

(1) When appropriate, an employer should give an employee whatever evaluation, instruction, training, guidance or counselling the employee may require to render satisfactory service.

(2) After probation, an employee should not be summarily dismissed for unsatisfactory performance unless the employer is thoroughly convinced that

(a) the employee after being given appropriate evaluation, instruction, training, guidance or counselling persists in delivering poor work.

(3) The procedure leading to dismissal should include an investigation to establish the reasons for the unsatisfactory performance and the employer should consider other ways, short of dismissal, to remedy the matter.”

“10. Incapacity: Ill health or injury

(3) The degree of incapacity is relevant to the fairness of any dismissal. The cause of the incapacity may also be relevant. In the case of certain kinds of incapacity, for example alcoholism or drug abuse, counselling and rehabilitation may be appropriate steps for an employer to consider.”

It is clear from the above that employers are entitled to expect satisfactory conduct and work performance from their employees. However, they have a responsibility to offer counselling to staff members after considering their personal circumstances to avoid unfair discrimination and dismissals. Employees displaying personal problems that affect work performance can be referred to an EAP for counselling; this action can be viewed as part of a disciplinary measure where confidential counselling is used to remedy and improve a situation of poor work performance. The researcher believes that the EAP is only responsible for primary therapy and should

refer the employee to an appropriate outside agency for further evaluation and treatment.

**b) Quotations from Employment Equity Act No. 55 of 1988**

The Employment Equity Act ensures that the EAP client will not be discriminated against and states that discrimination will not be tolerated in the work environment. The Act further states that personnel Information is to be held in the strictest confidence and that records must under normal circumstances be kept in a secure place and made available to courts when required.

ACT: “To provide for employment equity; and to provide for matters incidental thereto.”

Chapter II: Prohibition of unfair discrimination

“Article 5: Every employer must take steps to promote equal opportunity in the workplace by eliminating unfair discrimination in any employment policy or practice.”

“Article 6: (1) No person may unfairly discriminate, directly or indirectly, against an employee, in any employment policy or practice, on one or more grounds, including race, gender, pregnancy, marital status, family responsibility, ethnic or social origin, colour, sexual orientation, age, disability, religion, HIV status, conscience, belief, political opinion, culture, language and birth.”

Chapter III: Affirmative Action

“Article 26: An employer must establish and, for the prescribed period, maintain records in respect of its workforce, its employment equity plan and any other records relevant to its compliance with this act.”

“Article 50: (4) If the Labour Court declares the medical testing of an employee as contemplated in section 7 is justifiable, the court may make an order that it considers appropriate in the circumstances, including imposing conditions relation to

- (a) the provision of counselling
- (b) the maintenance of confidentiality
- (c) the period during which the authorisation for any testing applies
- (d) the category or categories of jobs or employees in respect of which the authorisation of testing applies.”

“Article 59: (1) Any person who discloses any confidential information acquired in the performance of a function in terms of this Act, commits an offence.”

The researcher is of the opinion that this act is relevant as it focuses on unfair discrimination, equal opportunities, an equity plan as well as the disclosure of information. Discrimination will not be tolerated in the work environment and the EAP cannot discriminate in offering services. Employees expect fair and unprejudiced treatment from the EAP. Accurate records on activities need to be kept confidential and should be made available to the courts if required.

**c) Quotations from Protected Disclosures Act No. 26 of 2000**

Any consultative session between the EAP and his/her client is protected under this Act. Information is confidential and should not be used for gain or to the detriment of the client.

“Article 3: No employee may be subjected to any occupational process whereby information is acquired that might be potentially detrimental to his or her employer or on account of the employee having inadvertently made a protected disclosure.”

“Article 9: Any disclosure made in good faith by an employee

(a) who reasonably believes that the information disclosed, and any allegation contained in it, are substantially true; and

(b) who does not make the disclosure for purposes of personal gain, excluding any reward payable in terms of any law; is a protected disclosure if

(i) one or more of the conditions referred to in subsection (2) apply; and

(ii) in all the circumstances of the case, it is reasonable to make the disclosure.”

The researcher understands that protected disclosures can be made in a counselling session. The Act focuses on the protection of information as well as confidentiality. Information shared with the EAP should not be disclosed or used in disciplinary hearings.

**d) Quotations from Basic Conditions of Employment Act No. 75 of 1997**

EAP services must be managed by trained professionals, since they are co-responsible for keeping records that are accurate and confidential, in a safe place.

“Article 78: (1) Every employee has the right to inspect any record kept in terms of this Act that relates to the employment of that employee

(2) Every trade union representative has the right, at the request of the employee, to inspect any record kept in terms of this Act that relates to the employment of that employee.”

“Article 90: (1) It is an offence for any person to disclose information that a person has acquired while exercising or performing any power of duty in terms of this Act, and which relates to the financial or business affairs of any other person except if the information is disclosed in compliance with the provisions of any law

(a) to enable a person to perform a function or exercise authenticated power in terms of an employment-specific law

(b) for the purpose of the proper administration of this Act

(c) for the purposes of the administration of justice.

(2) Subsection (1) does not prevent the disclosure of any information concerning an employer’s compliance or non-compliance with the provisions of any employment law.”

The researcher is of the opinion that the Act focuses on the conditions under which the EAP is employed, which includes remuneration, training, hours of service as well as working conditions. Hence, EAP services should be offered by adequately trained professionals. The EAP is expected to render services during both allocated times and also called



upon to assist in crises after hours. The EAP is also expected keep all disclosures during counselling confidential.

**e) Quotations from the Domestic Violence Act No. 116 of 1998**

This act is certainly applicable for any professional to whom any form of domestic violence is disclosed.

7.1.6.1 Description taken from this Act

Article 1 defines “domestic violence” as the following acts (when they take place within a domestic relationship)

- (a) physical abuse;
- (b) sexual abuse;
- (c) emotional, verbal and psychological abuse;
- (d) economic abuse;
- (e) intimidation;
- (f) harassment;
- (g) stalking;
- (h) damage to property;
- (i) entry into the complainant’s residence without consent, where the parties do not share the same residence; or
- (j) any other controlling or abusive behaviour towards the complainant, where such conduct harms, or may cause imminent harm to the safety, health or well-being of the complainant (1999: 4).

The domestic violence Act, according to the researcher, is an integral part of the EAP toolkit as it defines what constitutes domestic violence, types of assistance available to complainants, and identifies those who should assist as well as how to lodge complaints. It is often necessary for the EAP to inform the client on their legal rights as enshrined in the Domestic

Violence Act. Disclosure of information by the EAP is sometimes necessary and should accompany written informed consent. Disclosure can be made to the South African Police, welfare or other social or civic service organisations. The EAP professional should try to gain permission from the employee to disclose this information to the appropriate body, in this instance the South African Police Service or local Social Services Organisation. If medical attention is needed, the employee should be referred to a medical practitioner.

**f) Compensation for Occupational Injuries and Diseases Amendment Act No. 61 of 1997**

(4) For the purposes of this Act an accident shall be deemed to have arisen out of and in the course of the employment of an employee, notwithstanding that the employee was at the time of the accident acting contrary to any law applicable to his employment or to any order by or on behalf of his employer, or that he was acting without any order of his employer, if the employee was, in the opinion of the Director-General, so acting for the purposes of or in the interests of or in connection with the business of his employer.

For the purposes of this Act the conveyance of an employee free of charge to or from his place of employment for the purposes of his employment by means of a vehicle driven by the employer himself or one of his employees and specially provided by his employer for the purpose of such conveyance, shall be deemed to take place in the course of such employee's employment.

**63. Presumption regarding cause of occupational disease**

If an employee who has contracted an occupational disease was employed in any work mentioned in Schedule 3 in respect of that disease, it shall be presumed, unless the contrary is proved, that such disease arose out of and in the course of his employment.

The researcher understands that the Act focuses on injuries sustained during the course of duty and stipulates how to manage the incident to include the processing of compensation. Driving to and from work, as well as travelling to and from work assignments, are included within the parameters of assessing compensation. Occupational diseases are also specified in the Act as well the duties of both the employer and employee. The Act is relevant for the EAP as it outlines the processes and procedures for IOD (Injured On Duty) compensation and is a valuable tool in assisting with reintegration into the workplace.

**g) General duties of employers to their employees in terms of the Occupational Health and Safety Act No. 85 of 1993.**

- (1) Every employer shall provide and maintain, as far as is reasonably practicable, a working environment that is safe and without risk to the health of employees.
- (2) Without derogating from the generality of an employer's duties under subsection (1), the matters to which those duties refer include in particular-
  - (a) the provision and maintenance of systems of work, plant and machinery that, as far as is reasonably



practicable, are safe and without risk to health;

- (b) taking such steps as may be reasonably practicable to eliminate or mitigate any hazard or potential hazard to the safety or health of employees, before resorting to personal protective equipment;
- (c) making arrangements for ensuring, as far as is reasonably practicable, the safety and absence of risk to health in connection with the production, processing, use, handling, storage or transport of articles or substances;
- (d) establishing, as far as is reasonably practicable, what hazards that may pose a risk to the health or safety of persons are attached to any work which is performed, any article or substance which is produced, processed, used, handled, stored or transported and any plant or machinery which is used in the business, and the employer shall, as far as is reasonably practicable, further establish what precautionary measures should be taken with respect to such work, article, substance, plant or machinery in order to protect the health and safety of persons, and shall provide the necessary means to apply such precautionary measures;
- (e) providing such information, instructions, training and supervision as may be necessary to ensure, as far as is reasonably practicable, the health and



safety at work of employees;

- (f) as far as is reasonably practicable, not permitting any employee to do any work or to produce, process, use, handle, store or transport any article or substance or to operate any plant or machinery, unless the precautionary measures contemplated in paragraphs (b) and (d), or any other precautionary measures which may be prescribed, have been taken;
- (g) taking all necessary measures to ensure that the complete requirements of this Act are complied with by every employee or persons on premises under the control of the employer where plant or machinery is used;
- (h) enforcing such measures as may be necessary in the interest of health and safety;
- (i) ensuring that work is performed and that plant or machinery is used under the general supervision of a person trained to understand the hazards associated with it and who have the authority to ensure that precautionary measures taken by the employer are implemented; and causing all employees to be informed regarding the scope of their authority as contemplated in section 37 (1) (b).

The Occupational Health and Safety Act places the responsibility of providing a safe work environment for employees (safety, health, environment and life quality) on the organisation's managerial policy. As the health and wellness of employees are important considerations of the EAP and organisation, the researcher is of the opinion that this Act can assist the EAP in counselling employees affected by a toxic work environment. The Act also gives direction for employees with mental health problems or disabilities. Proper training in the use of machinery, first aid and fire fighting must be provided by the employer. The EAP professional can make recommendations to management on how to overcome occupational health and safety problems through proper training, alternate placement, or addressing of health issues which may be inhibiting the employee. Evacuation plans and critical incident management plans can also be developed with the assistance of the EAP.

#### **4. MODELS OF EAP**

As a workplace resource, EAP also has to be dynamic and individually customized to fit the needs of the modern work organization that it serves because the modern workplace is continually evolving in line with change that occurs in both domestic and global economies, as well as social and political situations. As organisations are unique and have differing interests, there is no single model EAP model that can be universally applied. As a result there has been much debate on the most comprehensive model that can be applied to most organizations, made up of a combination of popular models. Cunningham (1994:22).

Models of EAPs are broadly categorized as either internal/in-house or external/off-site/contract with the combination or blended models having elements of each in varying proportion. For the purpose of this literature study these terms will be used interchangeably. According to Fleisher and Kaplan (1988:31 – 34) factors that will influence the type of model utilised

by an organisation includes:

- Size of Workforce
- Distribution of workforce
- Mission and Vision
- Core values
- Strategic direction
- Cultural climate
- Allocation of resources
- Target population
- Range of services
- Administrative considerations
- Funding source

The researcher is of the opinion that the following factors can also influence the type of model used:

- Location
  - It is the researcher's opinion that staffing norms are not being applied consistently in South Africa. As a result fewer EAPs are being appointed than are actually required. This in addition to the vast distances that EAPs have to travel, especially in rural areas in South Africa, makes identifying a central location of the EAP an important factor.
- Types of problems encountered
  - The researcher believes that employees may encounter similar problems in similar settings. This phenomenon may result in the modification and standardization of services that should be provided. If a larger percentage of psychological problems are being presented to the EAP, then the EAP will have to refer the proposal to an outside organisation for assistance. Therefore a combined model may be more relevant for that organisation.
- Cost of model
  - The researcher understands that the cost of providing employee

assistance services is an integral aspect in determining the model for any organisation. Smaller organisations may not be able to offer employee's access to an internal EAP and would therefore have the service outsourced. The consortium model is also based on affordability where a group of companies can pool their resources to offer comprehensive EAP services.

- Capacity and resources within an organisation
  - According to the researcher the capacity and resources within an organisation (especially in South Africa where internal models proliferate) are an important determinant of the type of model. As EAPs become an integral aspect of the South African work culture, organisations are expected to implement this specialized service sometimes without the necessary resources. They are forced to review available resources in an attempt to implement a rudimentary EAP to find solutions to problems experienced by employees that impact negatively on their productivity. This decision is often linked to the cost of developing a comprehensive EAP model.
- Management support and buy-in
  - The researcher has been consulted by 24 national departments in South Africa and has found that one of the critical determinants in implementing a successful EAP has been management support. The researcher has observed over the past ten years that those national departments that had management support have made more progress than those where support was lacking. This has also had an influence on the type of model adopted by the organisation.
- Legislation
  - The first mandate (from the DPSA dated 29 August 1996) that enabled the researcher to implement an EAP in the Department of Correctional Services indicated that all departments were



assigned the responsibility to render an EAP within their human resources staff component. This paved the way for adopting the internal model for the EAP. If the mandate had not indicated that the internal model was preferred, national departments would have adopted another model.

#### **4.1 The External Model**

Cagney in Oher (1999: 59) states that the majority of modern EAPs are external programmes provided to the employer organization through outside contracting EAP vendors. Monfils (1995: 263) states that while internal staff can be integrated more totally into the corporate culture and are a good source for training and coaching, an external program on the other hand comes “ready made” and can be easier to implement. This may suit organizations that don’t want to be directly involved with their EAP services and staff. Similar to in-house models the external or off-site models may also have some variations, including:

##### **4.1.1 The Contract Model**

The work organization contracts an independent EAP service provider (service centre) in the community, to provide EAP functions. The service centre provides problem assessment/diagnosis, short-term counselling or referral to treatment resources located within the community network; in some instances the service centre may sub-contract professionals in the employ of a local external vendor rather than make use of salaried in-house staff, as indicated by Phillips and Older (1988: 135 – 136) and Masi (2000:407). Service providers may offer different levels of service with varying rate schedules, allowing companies to purchase the exact combination of services they think they need.

##### **4.1.2 The Consortium Model**

Masi (2000:407) also describes the consortium model as an EAP in which

several companies' pool and maximize individual resources to develop a collaborative program. The vendor is thus able to reach multiple employers under one program umbrella; the consortium model is therefore an ideal choice for companies that do not employ a large number of personnel to warrant their own EAPs.

#### **4.1.3 The Hot–line Model**

The hot-line is either a local or long distance 24 hour telephone service, available as a self-referral for troubled employees. It is staffed by call centre operators, who are assisted by supervisors. Records are maintained on all calls and activities, and summary reports are forwarded regularly to the contracted organisation (Bruce, 1990: 130).

#### **4.1.4 The Blended Model**

Many employers are using a combination of EAP models to fit their employee needs. Cunningham (1994:22) states that modern organisations are combining select employee assistance programme models because workplaces have become more complex. Hence, EAP models, in trying to meet the demands of their client system, have had to be adjusted accordingly. A combination of models has the capacity to suit a large main work site but could be equally effective to serve smaller sites. Some EAP services may also be contracted to a service provider.

#### **4.2 The Internal model**

The internal model with counselling components contains all facets of the programme and may be suitable for specific types of organizations, due to a need to control confidentiality and also because the employees of that organization may view themselves as a homogenous group. Myers (1984: 91) indicates that in this model the EAP office is located on the premises, with a counsellor who is either a full- or part-time employee. The counsellor monitors the case to observe how the employee is progressing

and could also provide selected aftercare and job reintegration if required. Records to measure activity and performance are often maintained. Counsellor qualifications usually vary considerably.

#### 4.3 Table of comparison between in-house and off-site models

Table 2.1 Model comparison

IN-HOUSE MODEL	OFF-SITE MODEL	COMMENT
<b>LOCATION, ACCESSIBILITY AND OWNERSHIP</b>		
EAP services located onsite and therefore easily accessible	EAP services located away from workplace	<ul style="list-style-type: none"> <li>• Off-site location ensures anonymity of user and guarantees privacy</li> <li>• In-house location visible within workplace, which cannot guarantee anonymity and may endanger privacy</li> <li>• Off-site could have limited on-site capacity</li> <li>• On-site location easily accessible in emergency and crisis situations</li> <li>• Off-site non-ownership by the client system</li> <li>• On-site ownership of the program lies within the organization, i.e. “it’s our program”</li> <li>• On-site suitable for large organizations with high turnover and a large human resources</li> </ul>



IN-HOUSE MODEL	OFF-SITE MODEL	COMMENT
		department <ul style="list-style-type: none"> <li>• Off-site suitable for small and medium enterprises for whom it is cheaper to outsource EAP services than to employ staff to deliver services</li> </ul>
<b>COMMUNICATION</b>		
Patterns of communication already exist inside organisation	Lines of communication between EAP service provider and organisation need to be established	<ul style="list-style-type: none"> <li>• Off-site can unwittingly get involved in the politics of the organization</li> <li>• Off-site Communication problems can occur between the service centre and the organization.</li> <li>• On-site better and faster communication within the organization</li> <li>• On-site assessments can be made in the light of organizational systems.</li> <li>• On-site can provide mediation services.</li> </ul>
<b>CONFIDENTIALITY</b>		
Supervisor has direct contact with EAP staff, which could threaten	Confidentiality is ensured since reports are mostly the only access	<ul style="list-style-type: none"> <li>• Off-site confidentiality easy to maintain because of limited contact with people other than the clients</li> <li>• On-site There may be concerns</li> </ul>



IN-HOUSE MODEL	OFF-SITE MODEL	COMMENT
confidentiality	supervisor has with EAP staff.	about confidentiality (real or apparent) <ul style="list-style-type: none"> <li>• Off-site is not part of the politics of the organization</li> <li>• Off-site neutrality is easier</li> </ul>
<b>UTILISATION BY FAMILY MEMBERS</b>		
Employees' family members are unlikely to be willing to access EAP if it is located at workplace.	Family members of employees are more likely to utilise EAP if it is offered at a separate venue.	<ul style="list-style-type: none"> <li>• On-site employee may feel uncomfortable bringing family members to workplace</li> <li>• Off-site counselling offers more privacy</li> <li>• Off-site facilities may be better and more conducive for families</li> <li>• Off-site facilities if located centrally may be easily accessible to family members</li> </ul>
<b>ACCESSIBILITY DURING WORKING HOURS</b>		
EAP services can be accessed during workday, which does not infringe on employees free time	EAP services can be accessed outside of working hours, which does not take worker out of the office. Could be more	<ul style="list-style-type: none"> <li>• Off-site location could be less convenient for some employees</li> <li>• Transport to and from as well as time to access services especially if it is during working hours are factors that impact negatively on the off-site location</li> <li>• Off-site locations may be fewer in rural areas</li> <li>• On-site beneficial in workplaces</li> </ul>



IN-HOUSE MODEL	OFF-SITE MODEL	COMMENT
	convenient as worker is more relaxed after hours.	<p>that experience staff shortages</p> <ul style="list-style-type: none"> <li>On-site can be viewed as a service benefit as it can be accessed during working hours and staff will be given time off to access services</li> </ul>
<b>FAMILIARITY WITH ENVIRONMENT</b>		
EAP provider is familiar with the company policies, procedures and goals – EAP in line with above	EAP provider has only a broad view of organizations purposes, but more counselling experience due to referrals from a variety of agencies.	<ul style="list-style-type: none"> <li>Off-site some supervisors may be reluctant to deal with ‘outsiders’.</li> <li>Off-site practitioners may be seen as ‘outsiders’</li> <li>Off-site lack of knowledge about the organization and its culture</li> <li>Off-site are profit orientated and may not always serve the interests of the organization.</li> <li>Off-site may not be able to adapt or tailor the program to the needs of the individual companies</li> <li>Off-site may not be flexible in what they offer</li> <li>On-site practitioner can provide multiple roles</li> </ul>
<b>REFERRALS</b>		
Level of	High	<ul style="list-style-type: none"> <li>On-site formal referrals can be</li> </ul>



IN-HOUSE MODEL	OFF-SITE MODEL	COMMENT
referrals is high due to “ownership” of EAPs by service providers	proportion of self-referrals due to employees confidence in outside agency to deliver service	<p>monitored directly</p> <ul style="list-style-type: none"> <li>• On-site more credible with some supervisors</li> <li>• On-site knowledge of the organization and its culture as well as the nature of problems can lead to more self referrals</li> <li>• Off-site self referrals may increase because of wide variety of professional services</li> <li>• Off-site referrals may be more popular with employees who want an objective view uncontaminated by organisational dynamics</li> </ul>
<b>RESPONSE TIME</b>		
Immediate response/ EAP services possible in crisis situations	Time between referral and response dependant on service provider’s waiting list	<ul style="list-style-type: none"> <li>• On-site emergencies and crises can be contained immediately</li> <li>• On-site response time is faster</li> <li>• Off-site in rural areas with poor infrastructure is problematic</li> </ul>
<b>COST AND RANGE OF SERVICES</b>		
Services are provided at low cost, as existent	EAP is more expensive since it is outsourced or	<ul style="list-style-type: none"> <li>• Off-site less costly for small or medium size organizations</li> <li>• On-site can be costly because of substantial staffing requirements</li> </ul>



IN-HOUSE MODEL	OFF-SITE MODEL	COMMENT
structures (e.g. human resources department) and offices are utilised.	contracted to a specific service provider.	<ul style="list-style-type: none"> <li>• Off-site can provide a range of services, including program formulation.</li> <li>• On-site better coordination of treatment and monitoring of follow – up.</li> <li>• On – site problem assessment capability.</li> </ul>
<b>STAFFING</b>		
EAP services necessitate extra staff or create more administrative work for existing staff.	Utilisation of economies of scale e.g. centralised administrative services lower cost to employer	<ul style="list-style-type: none"> <li>• Off-site may have more diverse and professional staff</li> <li>• Off-site the organization cannot be held responsible for malpractice of practitioners.</li> <li>• On-site only large organizations can justify full – time staff.</li> <li>• On-site a part-time person for smaller organizations usually will mean an inadequately trained person with insufficient time.</li> <li>• On-site level of persons in program can limit the level of employees participating</li> <li>• On-site skills and expertise limited by small staff</li> <li>• On-site possibility of staff “burnout” with one - person</li> </ul>





IN-HOUSE MODEL	OFF-SITE MODEL	COMMENT
		<p>program</p> <ul style="list-style-type: none"> <li>• On-site the practitioner can be more subjective in assessments</li> <li>• On-site practitioner can be used by management against the individual employee or vice versa</li> <li>• On-site the practitioner's neutral position in the organization can become compromised in the process of transverse involvement in various components.</li> <li>• On-site small number of staff available, often with experience of counselling a limited range of problems</li> <li>• Off-site staff have more diverse experience to support employees with different problems they may be facing</li> </ul>
<b>UTILISATION OF COMMUNITY RESOURCES</b>		
Replicates already existing community service organizations	Better identification and utilisation of existing community resource	<ul style="list-style-type: none"> <li>• Off-site better identification and utilization of community resources</li> <li>• Off-site better communications with professionals in community resources</li> </ul>

IN-HOUSE MODEL	OFF-SITE MODEL	COMMENT
<b>TERMINATION</b>		
Termination of services is difficult as an employee must leave the company, be re-assigned, or made redundant	Terminating services is simpler, since a contract can be terminated at any time (Services can be provided on a pay as needed basis)	<ul style="list-style-type: none"> <li>• On-site easier to terminate services</li> <li>• Off-site can make termination easier</li> </ul>

Masi (2000:407); Cagney (1999:65); (Myers, 1984: 70); Cagney in Oher (1999: 59); Oher (1999: 69); (Goldstein, 1997: 26).

The comments in the last column are from authors listed above, together with comments from the researcher. The researcher also believes that there would be no clear winner if the advantages and disadvantages of the different models were compared. In providing the best EAP services, there is a need for the models to be assessed from an organisational point of view in terms of its goals and commitment to sustain good health of its employees.

As a general rule of thumb, however, smaller organisations, where EAP needs are usually more difficult to predict, may benefit more from external EAP models. By the same token, larger organizations, with more consistent EAP requirements, may find in-house models more effective.

Each EAP model has its own set of qualities that would make it appropriate for the needs and requirements of a specific organisation and therefore the responsibility lies with employers to evaluate and select the model or combination of models that will provide the best service.

#### **4.4 Core Technology**

The researcher understands that EAP core technology represents essential components of the Employee Assistance profession. Combined, these components create a unique approach to addressing productivity issues and personal concerns affecting job performance. Herlihy (2002: 12 - 13) states that the Employee Assistance Core Technology represents essential components of the employee assistance (EA) profession. These components, used in combination or individually, create a unique approach to addressing work organization productivity issues. This invariably assists in improving job performance. Maynard (2004: 36) however goes on to indicate that while EAP core technology defines the most appropriate approach to enhance the profession, it should not restrict the boundaries of the field. The following diagram as presented by Beidel and Brennan (2005: 36) illustrates the interrelatedness of EAP Core Technology and the productivity of an organisation.

**Figure 2.2 EAP Core Technologies**

Family/Medical leave Act (FMLA) Child/Elder Care Services	Substance Abuse Professional (SAP) Services	Risk Management	Support Groups	Return-to-Duty Assistance	Critical Incident/ Stress Management
Legal/Financial Referral	EAP Core Technology Functions are: 1 Consultation with, training of, and assistance to work organization leadership (managers, supervisors, and union stewards) seeking to manage the troubled employee, enhance the work environment, and improve employee job performance; and, outreach to and education of employees and their family members about availability of EAP services. 2 Confidential and timely problem identification/assessment services for employee clients with personal concerns that may affect job performance 3 Use of constructive confrontation, motivation, and short-term intervention with employee clients to address problems that affect job performance. 4 Referral of employee clients for diagnosis, treatment, and assistance, plus case monitoring and follow-up service. 5 Consultation to work organizations in establishing and maintaining effective relations with treatment and other service providers, and in managing provider contracts. 6 Consultation to work organizations to encourage availability of, and employee access to, employee health benefits covering medical and behavioural problems, including but not limited to alcoholism, drug abuse, and mental and emotional disorders. 7 Identification of the effects of EAP services on the work organization and individual job performance.				Health Care Services • Clinical Evaluation • Clinical Diagnosis • Psychological Counselling • Chemical Dependency/ Mental Health Treatment
Outplacement/ Retirement					
Welfare-to-Work Programs					
Americans With Disabilities Act (ADA) Teams					Managed Care Services Manage: • Provider Networks • Healthcare Systems • Benefits
Conflict Management/ Violence Prevention/ Threat Assessment Teams					
	Drug-Free Workplace (DFWP)	OSHA/Safety Program	Wellness Promotion	Disability Management	Work/life Programs

Beidel and Brennan (2005: 36) continue to state in their article that the role EAPs play was validated in 1998 when the Employee Assistance Professionals Association convened a group of EA Practitioners to develop an updated illustration, indicating the interrelatedness between the core technology and services provided by EAPs. Several authors have written on the topic of EAP core technology and the researcher has decided to include the description provided by Herlihy. Herlihy (2002: 13) describes the EAP Core technology as:

#### **4.4.1. Consultation and training:**

Consultation with managers, supervisors and unions, as well as training of and assistance to work organization leadership seeking to manage the troubled employee, all form part of this core technology. Consultation and training efforts serve to enhance the work environment and improve employee job performance. Assistance is made available to employees and their family members, through training and outreach methods about the availability of EA programmes as well as guarantees (i.e. confidentiality) of EAP services.

#### **4.4.2. Problem identification and assessment:**

Problem identification/assessment services must be confidential and timely for employee clients with personal concerns that may affect job performance.

#### **4.4.3. Constructive confrontation:**

Constructive confrontation, motivation and short-term intervention with employee- clients to address problems that affect job performance are included here.

#### **4.4.4. Referral for diagnosis, treatment and assistance:**

This core technology includes referral of employee-clients for diagnosis, treatment and assistance plus case-monitoring, follow-up and aftercare service.

#### **4.4.5. Consultation to work organization:**

Establishing and maintaining an effective working relationship with treatment and other service providers, and managing provider contracts are included in the consultation with work organization.

#### **4.4.6. Consultation with work organization for health:**

Consultation with work organization is encouraged to facilitate the availability of and employee access to health benefits covering medical and behavioural problems, including but not limited to alcoholism, drug abuse and mental and emotional disorders.

#### **4.4.7. Evaluation:**

Return on investment and identification of the effects of EAP services on the work organization and individual job performance.

Comparing the 1988 EAP Core technology with the version approved in 1998 clearly demonstrates how EAP services have evolved over a period of one decade. It is clear to the researcher that while the 1988 Core Technology focussed predominantly on substance abuse the current focus is on a broader scope that encompasses not only employees but also their family members and work environment. The focus has also evolved from a supervisory tool to a participatory employee assistance programme tool. Dramatic changes in the health care market in the United States had an influence on this progress.

The researcher also believes that the turbulence now being experienced in the EAP field has both micro and macro sources. To illustrate this turbulence or instability will require the use the core technology as a benchmark. Some macro issues impacting EAP functioning, especially in South Africa, according to the researcher includes:

- The rapid pace of change, which has characterized the entire country, has accelerated the core technology since the democratic elections in 1994;
- The changing global EAP landscape, especially with the focus on wellness, behaviour risk management and work life balance;

- Economic and demographic alterations experienced by South Africa; and
- The emergence of an EAP “profession” in South Africa largely directed by individuals, EAPA SA and some companies from the private sector.

The researcher believes that sprouting from these larger issues is a host of more specific problems and pressures that the employee assistance field in South Africa needs to contend with, including:

- EAPs that tend to resist alternatives in program-focus and service delivery, as a consequence of the history and traditional orientation of the occupation
- The rising costs of medical aid memberships, and the desire and commitment by managers to better manage these costs;
- The costs of referrals to professionals, especially when these referrals are not covered by the employee’s medical aid scheme;
- The implementation of the Occupational Health and Safety Act;
- Resolutions and guidelines intended to create a smoke-free work place;
- The development of a national anti-Drug Master Plan;
- The finalisation of the National Strategic Plan on HIV/Aids prevention and awareness; and
- The need to establish evaluation, monitoring and control--parallel to encouraging accountability—to ensure that EAP outcomes are realised.

In the light of the above it has become imperative to refocus on EAP Core technology. The researcher believes that an appreciation of EAPs past and present will help lay a reliable foundation for future planning and continual development. A Historical study of EAP core technology illustrates what has been effective in the employee assistance field by

highlighting elements that have remained constant across circumstances and time. The researcher understands that in times of change, historical study becomes particularly useful, offering access to a wide range of possible options and reducing the possibility of repeating previous mistakes. A well-defined point of departure makes the charting of new territory easier and less intimidating. It is therefore an important consideration of the researcher to review the EAP Core Technology in order to address the limited coverage of:

- Consultation and training

The researcher is of the opinion that in South Africa there should be a greater emphasis on consultation and training. The EAP Core Technology should differentiate between that which is applicable to countries which have already established a history of EAP development and those countries are the forefront of this new field or industry in a foundation stage. The researcher also believes that this Core Technology should be broadened to include formal training, similar to the curriculum offered at the University of Pretoria.

- Constructive confrontation

The researcher believes that the constructive confrontation aspect of the Core Technology is not emphasised enough. It is also his opinion that constructive confrontation is an integral tool for EAPs in South Africa and needs to be emphasised more strongly.

- Consultation to work organization

It is the opinion of the researcher that the Core Technology should expand the concept of consultation to the work organisation. While it may be that consultation to the work organisation may be an integral aspect of the EAPs work in some countries, the researcher believes,



that in countries that are still developing within the EAP field, this aspect may be neglected. It is also his opinion that consultation to the work organisation does not happen frequently in South Africa as EAPs in the country are still grappling with implementing the EAP.

- Consultation - health promotion and benefits

According to the researcher this aspect of the Core Technology does not enjoy the emphasis it deserves, especially in South Africa. The concepts Return on Investment (ROI) and Behaviour Risk Management (BRM) are not as common in the EAP field in South Africa as it is in the United States. The researcher believes that South Africa is still in the foundation phase of implementing the EAP which is expected to mature into a field that will focus on health promotion and benefits.

The researcher also understands that the following aspects need to be emphasised in the current Core Technology

- Prevention must be strongly reflected
- Interrelatedness of personal and productivity issues must be reaffirmed
- Stronger focus on prevention – compared to strong focus on the therapeutic component in the past
- Link to programmes with a wider focus on wellness or well-being programmes
- Shift from internal to external programmes

The researcher can therefore conclude that EAP Core Technology, although steeped in the past, serves as the bridge for the future progression of the EAP profession. To make intelligent choices between options, EAPs need to understand underlying philosophies with regard to what the core technology seeks to accomplish. How then does one make

an informed decision if one does not understand the core business of the EAP?

## 5. DEFINITIONS OF EAP

EAP has evolved over the years and the scope and range of services it covers can be seen in the various definitions of EAP. The definitions that follow are being presented retrospectively to demonstrate how the EAP is defined in modern times and how the definition has evolved over time.

Some EAPs provided counselling services for employees and their families who needed help with personal problems, while others maintained the well-being and productivity of employees by providing confidential assistance or short-term counselling to those who were experiencing personal or work-related problems. It is from these services and the EAP core technology that the definition below evolved.

The Employee Assistance Programme is the work organization's resource that utilizes core technologies to enhance employee and workplace effectiveness. This is done through prevention, identification and resolution of personal and productivity-related issues, (EAPA SA new definition: E- member news September 2003).

The concept of core technologies for EAP is evident in this definition, moving it closer to a professional field of practice that can be more versatile in shape and scope. It also reflects the diverse and unique nature of the modern workplace and exemplifies the EAP as a resource rather than a product. This implies that it is dynamic and can take any shape according to the needs and direction of the modern work organization.

From the review of literature it can be seen from the history, definitions, models of service delivery and core technology that EAPs have evolved from the early days of providing material aid and assistance to employees

to a fairly sophisticated professional field of practice, making it an effective resource for work organizations to manage employee and productivity issues.

A comprehensive EAP can also be defined as a free and confidential workplace service that is voluntarily sponsored by employers or trade unions. Sponsorship could be done jointly or individually. Both internal and external EAPs respond to the needs of workers and their families and to management and the work organization. These EAPs are usually under the overall direction of professional health or mental health staff. These EAPs address comprehensive current and prospective bio-psychosocial progress of education, prevention, assessment, treatment, case management and referral, according to Akabas and Kurzman (1999:35).

These definitions outline traditional EAPs as they have occurred since inception as programmes that deal with employees' problems that may impact negatively on job performance. The definitions also deal with the legitimacy of the employers' intervention to find a solution to employees' personal problems. Modern definitions of the EAP demonstrate the evolution of EAPs and reflect the modern workplace. EAPs have become broader in focus and range of services – to a more proactive focus including not just therapeutic services but also prevention and education covering a range of bio-psychosocial and organizational productivity issues.

## **6. CONCLUSION**

According to the researcher, EAPs previously worked in crisis intervention, limited topic areas, and trusted source where the focus was on the individual. Modern EAPs must provide more diverse services, deal with declining funding and identify alternative revenue sources. There are also

many more requirements and competition to contend with. Human capital investment is being recognized as the most important investment in an organization. EAPs were also traditionally viewed as having a limited influence on an organization.

The researcher also believes that modern business needs tend to focus on behavioural issues and not on healthcare issues per se, as well as on tasks instead of functions. This has resulted in the use of technology to facilitate the integration of individual and organizational solutions. Some of the modern behavioural concerns being addressed by modern EAPs include issues regarding turnover, preventable accidents, theft, sabotage and blackmail, alcohol and substance abuse, emotional and psychological problems, compulsive behaviour, procrastinating, absenteeism, interpersonal conflict, violence, corruption, disruptive behaviour, racial as well as gender tension.

Replacement costs, time lost at work, benefit costs, litigation, and morale as well as poor internal communication, lack of supportive organizational culture, lack of supportive programmes, inadequate services and benefits, organizational stress, lack of control in recruitment and promotion procedures are issues that have been raised in the DCS national workshops as indicated in next chapter of this research document.

The researcher also believes the EAP can play a decisive role in recruitment and selection, learning and performance support, training, performance management, wellness, health risk appraisal, disease management, and on-site healthcare; and the modern EAP must have a consistent work-site presence if it is to impact positively on productivity. Successful EAPs have an effect on the reduction in absenteeism, turnover, and claims though qualitative tactics, which impact positively on strategic planning initiatives.

The "useful idea" of occupational alcohol-abuse programs (and, later, EAPs) was conceived in an environment in which many businesses and labour organizations were confronted with a critical business issue. The issue was the loss of employees and union members to problems that originated outside the workplace. Traditional workplace solutions and supervisory or employee advocacy practices did not help identify effective outcomes. Helping employees identify, confront, and resolve their problems was acceptable because it made a positive impact on the organization's bottom line. As EAPs evolved employers began to focus on reductions in lost time, turnover costs and increased retention of employees. Later customer satisfaction and employee relations became more prominent.

An appreciation of EAPs past and present helps establish a foundation for the rest of this study. This historical study illustrates what has been effective in the employee assistance field by highlighting elements that have evolved across circumstances and over time. The study also assists in documenting a range of program models utilized for service delivery to date and presents various definitions that bring the focus on the modern trends in EAPs to the fore. This chapter is particularly useful in offering access to a wide range of possible options, reducing the possibility of repeating previous mistakes and reinforcing the essence of this study, namely to conduct research in the DCS in South Africa. The purpose of this research is to evaluate the functioning of the DCS EAP according to EAPA SA standards as well as provide conclusions and recommendations on improving the functioning of the EAP in the DCS. A well-defined point of departure makes the charting of new territory easier and less intimidating.

## CHAPTER 3

### DEVELOPMENT OF THE EMPLOYEE ASSISTANCE PROGRAMME IN THE DEPARTMENT OF CORRECTIONAL SERVICES

#### 1. EAP IN DCS

As indicated in Chapter one, the researcher will attempt to answer the following question:

- **What are the processes that contributed to the development of the EAP within the DCS?**

EAPA SA (2005:9) includes a standard on programme design that should be based on organisational and employee needs (Standard 2). The researcher has numbered the standards for easy reference. The four areas addressed in this standard include:

- Organizational profile and needs;
- Employee needs;
- Supervisors and union representatives' needs; and
- Healthcare profiles and needs.

The researcher will attempt to link the information provided in the reports presented later in this chapter with the relevant standard to show that the development of the EAP in DCS can be associated with some of the EAPASA standards. In chapter one the researcher quoted Patton in Fouché and De Vos (2005:108) who indicated that the evaluation of a programme would involve the systematic collection of information about that programme, with the intention of making judgements, improvements, and informed decisions about future programming. This means that the researcher would need to focus on the collection of information on the conceptualisation and implementation of the DCS EA programme, with the intention of determining how the programme has been implemented. Patton (2002) and De Vos also defines programme evaluation as the systematic collection of information about the activities, characteristics,

and make judgments about the outcomes of programmes, improve its effectiveness and / or make informed decisions about future programming. In Chapter 3 the researcher will present an overview of the events and documentation that led to the establishment of the EAP in DCS. The researcher will also attempt to link the information in the report to relevant EAP standards.

The researcher will mainly rely on one source as there are very few published sources on the DCS in South Africa. The researcher will present the following documents in this chapter: (summaries are provided as the documents are about 300 pages in length)

- Investigation Report, commissioned by the Minister of Correctional Services in 1996 on labour-related problems encountered in the Department of Correctional Services
- Pilot project on establishing the EAP in DCS (1999)
- National Workshop Report (1999)
- Implementation Report on the post establishment of the EAP in DCS (1999)
- DCS Annual Reports for the years 2000/2001, 2001/2002, 2002/2003, 2003/2004, 2004/2005, 2005/2006, 2006/2007.

## **2. INVESTIGATION REPORT**

A mandate was given by the Minister of Correctional Services on the 6<sup>th</sup> of September 1996 to investigate labour-related problems at three prisons (Jali and Barlow, 1996:2). The investigation took place from 14 October - 12 December 1996; the final report was presented to the Department of Correctional Services on 13 January 1997. The researcher is of the opinion that this report serves to highlight the problems experienced by employees in the DCS. It is also his opinion that because this report was commissioned at the highest level, it could not be ignored as it served to expose the poor conditions that employees were faced with. The report

also made fundamental recommendations on the establishment of support programmes for employees. The investigation report consisted of the following:

- Introduction
- Prison inspection
- Information from the various interviews (labour problems)
- Transformation
- Salaries and benefits
- Poor labour relations
- Discrimination
- Stress management
- Medical staff and medical resources
- Financial management
- Corruption / mismanagement
- Correctional supervision
- Conclusion
- Recommendations

The terms of reference in relation to the committee were set out in a letter addressed to the committee dated 5 September 1996, directed committee members to investigate one Area of Command (Prison). Subsequent to that the terms of reference were extended to include two other Prisons. (Jali and Barlow, 1996:2)

The terms of reference were as follows:

- To analyse the causes of labour-related problems within the selected Prisons;
- To make recommendations on the steps that could be taken to promote sound labour-relations with the co-operation and trust of all employees;



- To evaluate findings against prevailing conditions;
- To enquire into and report to the Minister on any other matters, which in the investigating team's opinion is relevant to the abovementioned matters, (Jali and Barlow, 1996:2).

It must be noted that at the time of issuing the report the DCS did not have an EAP but was in the process of conceptualising the concept.

## **2.1 Report on committee enquiry into labour-related problems at prison A.**

The investigation commenced with meetings attended by members, union representatives and management; the following issues were raised:

- The nurses raised a concern about the lack of facilities for dispensing medicines at the various sections within the prison. A nurse had to push a trolley to provide various inmates in different sections with medication, which posed a safety risk, especially for female nurses as they were not accompanied by a member of the security team.
- There was a general lack of suitable office space.
- Where office space was adequate, office furniture like desks and chairs were in short supply, making the potential working environment unsuitable. Heaters were unavailable during the winter months.
- The intercom system, a necessity for security reasons in various sections of the different prisons, was malfunctioning. According to committee members the intercom system was damaged during the 1994 riots leading to the general elections and had not been repaired since. The members further explained the risk the department faced due to the malfunctioning of the intercom system. When a member enters a section unaccompanied by a fellow employee, he cannot make any contact with the operations room in the event of a problem in the section. This vital aspect was

expressed as one of the urgent needs to ensure the safety of members. (This basic necessity for basic security and protection was also an urgent requirement at Prison B).

- At the Prison reception room, no alarm system was operative that could allow the member stationed there to communicate with other members elsewhere or the control room. If the event of a member being attacked by an inmate or more than one prisoner, who usually congregated in groups when they enter the prison for the first time, the member would not be in a position to raise an alarm or communicate with the operations room. This risk was also perceived by the investigators as an urgent justification to remedy the safety of members.
- A number of security posts were inspected by the investigators. At one security post they found no ablution facilities; this meant that a member who is on guard at the security post could not leave to relieve himself. If he left his post, he would be prosecuted for leaving the post unattended. The investigators felt that there was a need to totally renovate or rebuild the various security posts to incorporate, ablution facilities. At another post, members were expected to stand on guard without any form of shelter or facilities. During winter and when it rained they were exposed to harsh weather conditions. The urgent need to implement the building of appropriate security posts, (Jali and Barlow, 1996:7-9) was reiterated.

The following standards can be linked to the information above:

### **2.1.1 Information gleaned from the interviews (labour problems)**

Subsequent to visiting the prison, the team interviewed representatives from all the trade unions. In addition, the psychologist and resident doctor at Prison A were also interviewed.

The assessment of the situation indicated that there are a number of factors which contributed to the labour problems at the Prison. The most prominent being a lack of trust between management and the unions. Other problems have been grouped into the following categories:

- Transformation related issues;
- Salaries and benefits;
- Poor labour relations;
- Racial discrimination;
- Medical staff problems;
- Stress management;
- Financial management;
- Corruption or poor management;
- Lack of facilities/resources (this has already been dealt with above);
- Lack of discipline;
- Lack of motivation, (Jali and Barlow, 1996:11).

### **2.1.2 Transformation**

According to the investigators (Jali and Barlow, 1996:12), the department was obliged to transform itself after the 1994 general elections so that it would comply with the human rights culture as espoused in the new South African Constitution. The Department of Correctional Services demilitarized its operations and also attempted to formulate an affirmative action policy as part of the transformation. The fact that the Department of Correctional Services appeared not to have a concerted action plan for transformation in place led to a number of problems.

The members indicated that the definition and criterion of the affirmative action policy had never been explained to them. They did not know who would benefit from the policy nor were they aware of how the programme should be implemented. They were only told that the target is to reach a

ratio of 70/30 (Black v White) by the year 2000. Consequently, due to the alleged failure of the department to consult with experts on the subject of affirmative action and implementing the policy, the notion emerged that nepotism would prevail when recruiting personnel. White members felt that they would be marginalized by the mandatory implementation of the affirmative action policy and that they had no career path within the department. This perception could give rise to problems affecting self-esteem, productivity and racism. Workshops have not been held with the members and the unions. The feeling was that the Department could not afford to lose the skills of people in the transformation process, (Jali and Barlow, 1996:13).

It was also alleged that in an attempt to create capacity for affirmative action appointments, the department invited members to apply for severance packages. The said invitation did not set out any criteria or restriction in respect of race or rank of applicants. In response thereto a number of members applied for severance packages. The department had however, resolved to only approve applications from members above a certain rank and exclude all Black members from the granting of severance packages; this was done with the view of creating capacity for achieving its affirmative action targets. However, this course of action had created a number of problems and unhappiness amongst most members as the expectation was created that all members would be considered for the severance packages. At Prison A there were 66 members who applied for severance packages, which included a number of Black members who were advised that their applications had not been approved, (Jali and Barlow, 1996:17).

The affirmative action issue was the main cause of unhappiness within Prison A as the high expectations created by the department did not materialize which resulted in the union members believing the department

had not taken the transformation seriously. It was apparent that a clearly defined and acceptable affirmative action policy, guideline or action plan was not in place. As a result, the concept and principles of affirmative action were blurred in the minds of many members. The purpose of introducing affirmative action into the workplace was therefore misinterpreted which led to some employees feeling demotivated and unhappy. Top management was also perceived as noncommittal due to their apparent unwillingness to seek solutions to rectify the situation within the department. Rather, the perception was that they would like to perpetuate the current position. Certain unions continued to believe that management was still marginalizing the Black members despite the introduction of the affirmative action policy. Unions assumed that since this ambivalent behaviour had happened previously and believed that with the transformation of the country it would not happen again, (Jali and Barlow, 1996:18).

About 25% of the prison workforce resided within prison premises. The unions expressed a view that even though they did acknowledge an acute housing shortage within the prison grounds, they believed the allocation of residences was still based on racial grounds. The housing issue on the prison precinct influenced the question of weekend and after hours work schedules. This created further tension as only certain people would be afforded the opportunity to earn overtime pay due to their place of residence. Management did however advise the investigators that the Department of Public Works would build additional houses and flats on the premises, (Jali and Barlow, 1996:20).

### **2.1.3 Poor Labour Relations**

The department, in the process of transforming itself, abolished the military system during 1995 and in so doing, it was alleged that no proper consultation and preparation for the change was made. The military

system became unsuitable for the department after the 1994 general elections as it did not fit with the democratic principles which are contained in the South African constitution. The military system, to a certain extent, suited the authoritative White management who were now left with a perceived lack of power to discipline members as most of their decisions were being challenged. White management had encountered problems in transforming their status from an authoritative milieu to a fairness culture as espoused in sound labour relations. It was stated that management was not properly equipped in dealing with the various labour issues in a non-militaristic style. It was also stated in the report that management had chosen to abdicate its responsibility to deal with recalcitrant members of staff, resulting in a general decline in discipline and simultaneously an increase in corruption. The report also stated that there was a high rate of absenteeism and that some members fail to do a full day's work, (Jali and Barlow, 1996:23).

According to Jali and Barlow, 1996:26 the underlying reason for non-compliance was due to the fact that historically the vast majority of members were trained under the apartheid era. That training had since become obsolete for members operating under the new dispensation. The investigation also revealed that there was a need to reassess the full scope of training given to warders at the various training colleges and to bring it into line with the new South African Human Rights culture. It was also believed that the warders needed to be educated on prisoner's rights and how to deal with prisoners who demand rights to which they may or may not be entitled to in terms of the new constitution. It was clear that members did not know how to deal with the demands made by inmates, which caused frustration, a feeling of helplessness and inadequacy, and eventually a breakdown of discipline within the prison system. It was suggested that training colleges should endeavour to put more emphasis on informing members about prisoner's rights as opposed to focusing

solely on training members on how to handle guns and rifles, (Jali and Barlow, 1996:26).

#### **2.1.4 Discrimination**

It was alleged (Jali and Barlow, 1996:27) that the merit award system as well as promotions tended to be based on racial grounds. There was also an element of nepotism when it came to promotions. It was stated that relatives of senior officials tended to be employed and promoted to the exclusion of other members.

#### **2.1.5 Stress Management**

A prison environment is very stressful due to numerous factors which have been previously documented. Two occupational areas that exacerbate stress are the very nature of the inmates with whom the members work with in the prison environment and problems that arise from the understaffing situation within the department of Correctional Services. It was also believed that the recreation and sporting facilities at the Prison did not assist the members in managing stress. The department needed to give this particular aspect serious consideration. The DCS should look into a variety of recreation facilities and not limit it to what was previously perceived as White sporting codes. The department should conduct a thorough study of the stressful environment in which members work and be advised by experts on the assistance that may be afforded to members to sustain healthy, balanced lifestyles, and in the process cope better with occupational stress, (Jali and Barlow, 1996:29).

#### **2.1.6 Corruption / Mismanagement**

The team questioned the increase in corrupt practices. It was suggested that a psychological study may give revealing insight in this regard. It was also stated categorically that whatever the cause of corruption, it would

de-motivate and corrupt others if it was left unchecked, (Jali and Barlow, 1996:31).

### **2.1.7 Conclusion**

The report revealed that a general perception existed that management is only nominally in control of the prison, (Jali and Barlow, 1996:34). It was also stated that top management (which was all White) had lost interest and motivation in effectively managing the prison as they had all applied for and received approval to claim their severance packages and departure dates. Accordingly they had abdicated their responsibilities. The inherent danger therefore was that the unions would take charge of the prisons if they were forceful.

### **2.1.8 Recommendations in Report by Jali and Barlow (1996)**

A number of members, at the time of the investigation, had either applied to go on stress leave or were already on stress leave. It was also evident that there had been a sudden increase in the number of people who were eligible for stress leave. While the investigators accepted that conditions within prisons were stressful, they put forward a recommendation for the department to investigate the authenticity of the various applications and the extent of leave which had been taken by some members. There was a perception within the prison services that some members were using alleged stress management as an avoidance tactic to pursue their duties within the department. The investigators also stated that if not curtailed promptly the concession offered members to take “stress leave” when necessary will in their view be increasingly exploited. .

There was a serious need to set up a stress management unit under a qualified psychiatrist or psychologist as had been established within the South African Police Services, (Jali and Barlow, 1996:38-47).



According to the researcher the following standards can be linked to the investigation report at prison A.

## EAPA-SA STANDARD (2) **PROGRAMME DESIGN**

Programme design shall be based on an assessment of organizational and employee needs as they relate to EAP utilization. The background information and organizational data to be considered into the programme design will include at least:

- Organizational profile and needs;
- Employee needs;
- Supervisors and union representatives' needs; and
- Healthcare profiles and needs.

The researcher believes that the information contained in the investigation report at prison A identifies the respective needs of the organisation, employees, supervisors and labour. Employees have expressed concern for their safety; this includes the conditions under which they work and the effect the transformation in the DCS has had on personnel security. The EAP should focus on programmes that would address the needs identified as it is evident to the researcher that productivity is being hampered. Labour has expressed concern for the slow pace of transformation and has raised serious issues related to corruption. The researcher can understand why stress was identified as a serious concern and that stress management should be an integral aspect of any future EAP. Listed below are standards for Employee Assistance Programmes in South Africa which were developed by the South African Chapter of the Employee Assistance Professionals Association (hereafter known as EAPA SA), in 1999 and revised in 2005, as guidelines for implementation of EAPs. The researcher has also utilised the EAPA incorporated standards as a benchmark.

### EAPA-SA STANDARD (7) **IMPLEMENTATION PLAN**

An implementation plan shall outline the actions and schedule needed to establish an operationally effective EAP. EAPA SA (2005:13) The researcher believes that for the EAP in the DCS to be operationally effective, it should have a proper implementation plan. The plan should prioritise strategic specific areas of concern as raised in the investigation report.

Emener, Hutchison and Richard (2003:190) state that the implementation plan shall also set forth the timeline for the completion of the implementation plan. They also indicate that the implementation plan should cover:

- Policies, procedures and objectives
- Logistics
- Operational plan
- Management plan
- Evaluation system

The researcher believes that the issues raised in the investigation report presented above should be addressed in the implementation of the DCS EAP.

### EAPA-SA STANDARD (15) **CRISIS INTERVENTION**

The EAP will offer responsive intervention services for employees, family members and the organization in crisis situations. EAPA SA (2005:18)

The researcher believes that the DCS is in a crisis and that the factors highlighted in the investigation report must be addressed. Interventions developed by the EAP must be specific and can be targeted at both members and management of the DCS.

Emener, Hutchison and Richard (2003:193) also refer to the standard on crisis intervention and indicate that the EAP must be prepared to respond

to emergencies in a timely fashion to prevent or lessen long-term dysfunction.

#### EAPA-SA STANDARD (19) **FOLLOW-UP AND AFTERCARE**

The EAP will ensure that follow-up and aftercare services are provided to EAP clients, supervisors, and union representatives. EAPA SA (2005:23).

The researcher recognizes the stressful conditions under which members work and believes that once-off interventions will not address the needs of clients, supervisors and union representatives. Interventions must be sustained and follow up participation must include evaluation, monitoring and control procedures to continually assess the impact of such interventions.

#### EAPA-SA STANDARD (23) **NETWORKING**

The EAP, being an integral part of the organization, should network with the various internal departments, EAPA SA (2005:26).

It is the opinion of the researcher that the EAP cannot resolve all the problems that emanated from the investigation report. It is therefore vital for the success of the EAP that the practitioner networks with the various internal departments. The researcher understands that organisational development, training, diversity management and employee relations must work together to resolve the issues that have been identified.

## **2.2 Report of Committee Enquiry into Labour Related Problems at Prison B**

Investigations commenced at Prison B on Monday 28 October 1995 (Jali and Barlow, 1996:1). In accordance with their previous modus operandi the investigators commenced the investigation by calling a meeting of all the role players in the labour relations scenario at the prison. This general meeting was attended by labour representatives of all recognised unions and the Management of the Prison.

### **2.2.1 Senior Management Who Were On Sick Leave**

The investigators believed that with the announcement of the results of the investigation at certain Prisons, the previous commander and the Head of Finance vacated their posts simultaneously and took sick leave. It was noted that many union members were considerably aggrieved at the fact that these senior management officials were being paid a full monthly salary every month whilst they stayed at home. It was also alleged that these senior managers were not genuinely sick and were simply abusing the system in an attempt to sabotage the transformation of the prison as a whole, (Jali and Barlow, 1996:10).

### **2.2.2 Lookout Posts**

It was noted by the investigators (Jali and Barlow, 1996:17) that lookout posts were found to be unsatisfactory was also a grievance encountered at the other prison. The lookout posts were often temporary features that did not provide toilet facilities. In addition, it was found that the lookout posts were allegedly in a dilapidated condition and perceived by members as a safety hazard and not conducive to the well-being of employees manning these posts. Some of the lookout posts had been in existence since 1967 but no funds had been forthcoming to rebuild or repair them. It apparently had occurred in the past that members had refused to work in these posts where the windows were broken and where members were obliged to stand in the rain for six hours at a time. If a member needed to relieve himself there was often no-one to replace him and he was compelled to abandon his post temporarily. This situation was a major grievance shared by all members; these unacceptable work conditions affected the members' motivation and morale in general.

### **2.2.3 The Negative Morale of the Workers**

It was stated by one labour union that discipline levels among members and their morale was generally low. The union's view was that this decline

in previously assertive behaviour had steadily occurred from the time the military ranks were abolished. The union entertained the viewpoint that each member needed to have some indication of his status displayed on his uniform in order for members to afford respect to that person, not necessarily as a result of “rank”, but because of his position within the non-military system. The union was also concerned that even the inmates were struggling to come to terms with the new structure now that the military system had been done away with. This according to the union led to a depletion in morale, (Jali and Barlow, 1996:19).

#### **2.2.4 Understaffing**

It was stated in the interview report (Jali and Barlow, 1996:22) that the issue of understaffing was further aggravated by the fact that one particular nurse had been off on stress leave for eight months and two other nurses were on sick leave. The nurses remaining on duty voiced their opinion about the situation stating that they were unable to cope with the workload; this objection had led in one instance to a march on Parliament by the nurses because of understaffing.

#### **2.2.5 Safety of Nurses**

The nurses’ union expressed concern with the depleted custodial staff that brought prisoners to the nurses. The union alleged that in many instances one warder was provided to guard ten inmates and the safety of nurses was thereby compromised. They also stated that safety can be compromised when nurses have to go to the sections to deliver medicines, especially in maximum security prisons. This problem was aggravated by the fact that there were only two male registered nurses and it was extremely dangerous for a female nurse to visit a section to dispense medicine in a male prison, (Jali and Barlow, 1996:27).

### **2.2.6 Members on Stress / Sick Leave**

Management referred to senior members and others who were absent from work on sick/stress leave. It was alleged that many of the senior management who had resigned after the most recent investigation had subsequently applied for voluntary retrenchment packages, which had been granted to most of them. Five of the six senior managers had been off work for a considerable period of time. Management regarded it as significant that all senior managers that were on sick leave were white and that the reasons given were stress and major depression. The investigators also stated that certificates authenticating sick leave were simply produced. Many warders were also on leave as they were unwell but there was also a large proportion that indicated they were stressed and depressed. Management also was of the opinion that a pattern could be established where a member would return to duty after a period of sick leave followed immediately by another member who would take leave claiming poor health apparently due to stress and/or depression. While there was a normal medical board that considered the whole issue, management felt that the process took too long and was inappropriate under the circumstances. Management also felt that many of the members who were taking stress leave were using this to escape the effects of affirmative action policies and transformation in the department.

The investigators also found that the absence of members on sick leave had a very demotivating and stressful effect on other members in that the members remaining were required to perform additional work that the member who is on sick leave would have done. It was also stated that if members perceived system exploitation by persons who are not really sick or under stress, that this attitude over time would encourage even these members to also exploit the system. To prevent the perpetuation of the exploitation of the system the investigators deemed it essential to address this issue. (Jali and Barlow, 1996:32-34).

### **2.2.7 Morale of the Members**

When the investigators (Jali and Barlow, 1996:34) questioned management regarding their perception of the morale of the members, it appeared that in most instances the heads of the various prisons viewed the morale as being fairly low. The low morale was attributed, amongst other things, to the alleged unfairness of overtime payment due to members residing on prison property and to under-staffing due to absenteeism as a result of sick leave concessions.

### **2.2.8 Shortages of Staff**

Under-staffing, according to the investigators (Jali and Barlow, 1996:46), was a general problem prevalent at all the prisons. One union felt that the post allocations which were reviewed in 1993 needed to be revised as there had been an expansion of the prisons without allocation of additional staff. This oversight had led to a great shortage of staff on weekends and an undesirable prisoner/warder ratio.

### **2.2.9 Whites Hampering the Transformation Process**

It was stated by the investigators (Jali and Barlow, 1996:48) that one of the unions was of the opinion that many of the white members who were on stress leave at that time were hampering the process of transformation because whilst they were away on leave, their posts could not be advertised. It was the feeling of the trade union that those positions should be reviewed and such persons should be medically boarded to create capacity. The union was also of the opinion that many of the people who were on stress leave were doing so merely to defy change. The union felt that management was not being proactive in this regard.

### **2.2.10 Trust**

The investigators alleged that a trade union had pointed out that morale amongst members in general at Prison B had declined. This union also

asserted that future investigations should be carried out by independent people and that the committee conducting investigations should be fully representative.

The investigators stated that there was a serious lack of trust between members themselves and between members and management. They claimed that this lack of trust was very deep-seated and effectively prevented any acceptable system from functioning; consequently, members either delivered judgment amongst themselves or management sat in judgment upon members. It is for this reason that the investigators believed it would be necessary in the immediate future to contract the services of independent people outside the Department of Correctional Services to serve on relevant committees of investigation, take responsibility to implement disciplinary steps and take charge of monitoring the implementation of the affirmative action policy and staff promotions in general. The investigators arrived at this conclusion because they believed that if an independent third party was objective it would be trusted and accepted as being impartial and therefore more likely to be accepted by the various parties; it was also believed that members would more readily accept the outcome of investigations, affirmative action appointments and general promotions.

All of these factors had led to many members feeling uncertain about their powers and functions and the role that they were expected to play in prison B. Many members felt inadequate and this diminished self-esteem issue needed to be addressed urgently in the form of detailed re-training. The investigators stated that re-training would go a long way towards creating a new culture of thought within the Department of Correctional Services and would provide an opportunity for interaction between white members and members of colour and appreciation for cultural diversity. The need for re-training was viewed as a necessary step forward because



many members had been recruited into the service from outside the Department of Correctional Service but who had not been trained under the old military-style system. Their attempts to operate within this system invariably caused clashes with members who were old-school and had a different way of doing things.

It was the view of the investigators that members were experiencing emotional conflict and felt ill-equipped in an ever-changing environment. Many members in fact felt that their rights had been taken away and that the inmates had more rights than they did. While this assumption was obviously incorrect, the very fact that this perception existed warranted the feeling of inadequacy expressed by many members.

The investigators stated that members were very concerned about their image in society but were even more concerned about how their relationship with prisoners was perceived; their chief concern was whether their rapport with prisoners was effective and workable, (Jali and Barlow, 1996:60-68).

### **2.2.11 Working Conditions**

It was stated by the investigators that a labour union was concerned that the working conditions at prison B were inadequate and that this would affect morale and encourage corruption. They also raised the question of the dilapidated lookout posts were dangerous and ill-equipped since no ablution facilities were nearby. In addition the investigators referred to the agricultural area where no ablution facilities were provided for members. The union also alleged that within the sections there were no facilities for members to sit and eat their regular meals. As a result members ate their meals either standing or walking in the passage. According to the union the reason for the lack of space is because the prison was originally designed for fewer members of staff and a smaller number of inmates

than what are currently the case; as a result the prison is very overcrowded.

A Labour Union also referred to problems associated with the lack of facilities for visitors at the prison. Visitors were sometimes prevented from visiting the inmates, which in turn provoked aggression toward members, and thus resulted in further conflict between members and prisoners, (Jali and Barlow, 1996:71-73).

## **2.2.12 Recommendations**

### **2.2.12.1 Retraining of Members**

The investigators believed that many of the members at the time of the investigation employed in the department were trained under an old system which was wholly inappropriate. Issues such as prisoners' rights, demilitarization, industrial relations and reconciliation between members must be addressed. Each member should be compelled to go through a re-orientation/new training course to acquaint him or herself with the agreed principles and also to enable such a member to function effectively and with confidence in his or her working environment. It was also stated many members feel inadequate especially in regard to their relationship with prisoners and require training on managing stressful and difficult situations.

### **2.2.12.2 Members on Stress/Sick Leave**

The investigators also found that members who were working suffered from low self-esteem because they felt exploited by the number of members who were on so-called sick leave. It was also alleged that certain members of senior management who were supposed to be on stress leave were in fact simultaneously employed in the private sector whilst also claiming remuneration

from the department. It was the view of the investigators that an appraisal system should be promptly developed to assess the veracity of sick/stress leave claims as the present system was cumbersome and open to exploitation. The investigators believed that taking sick/stress leave was fast becoming a trend among members who regarded it as an “easy way out”.

### **2.2.12.3 Psychological Analysis of Stress Factors**

The investigators concluded that working in a prison environment was stressful and conceded that while members had elected voluntarily to work within such an environment, it was deemed extremely necessary and urgent for the department to appoint a team of experts (psychologists and social workers) to analyse the various stress factors prevailing in a member’s works environment. Based on the outcome of the research and recommendations from these experts, the investigators concluded that the department should take steps to support members and equip them to deal with stress, (Jali and Barlow, 1996:79-100).

According to the researcher the following standards can be linked to the investigation report at prison B.

#### **EAPA-SA STANDARD (1) ADVISORY COMMITTEE**

An Advisory Committee should be elected to operate at the highest possible level within the organization, involving representatives of all segments of the workforce, EAPA SA (2005:7). The researcher is of the opinion that the work performed by an advisory committee can enrich the EA programme as the relevant groupings within the organisation will be represented. The committee will also serve as consultant to offer guidance on programme development in accordance to needs that are identified.

Emener, Hutchison and Richard (2003:189) state that the EAP is relative to the degree of support from senior management and labour. Membership of the advisory committee should include:

- Top management
- Union employees
- Medical personnel
- Human resources
- Benefits
- Safety and occupational health
- Finance
- Legal
- Training and development
- EAP operations

The researcher realises the importance of achieving this standard in the context of the information provided in the report above, since issues mentioned in the report can be raised in the advisory committee.

#### **EAPA-SA STANDARD (2) NEEDS ASSESSMENT**

Programme design shall be based on an assessment of organizational and employee needs as they relate to EAP utilization. The background information and organizational data to be factored into the programme design will include at least:

- Organizational profile and needs;
- Employee needs;
- Supervisors and union representatives' needs; and
- Healthcare profiles and needs, EAPA SA (2005:9).

The researcher believes that the problems identified by the researchers will serve to inform the programme design as they will be based on employee needs.

#### EAPA-SA STANDARD (14) **TRAUMA DEFUSING AND DEBRIEFING**

The EAP will offer trauma defusing and trauma debriefing services for employees, family members, and the organization in extreme situations.

EAPA SA (2005:17)

The researcher believes that according to the report there is evidence of poor working conditions, low morale and high stress levels. He is also of the opinion that trauma counselling should form an integral part of the DCS EAP as employees work under extremely stressful conditions as indicated in the report.

#### EAPA-SA STANDARD (15) **CRISIS INTERVENTION**

The EAP will offer responsive intervention services in crisis situations for employees, family members and the organization, EAPA SA (2005:18).

The researcher has deduced from the report that employees are demotivated, stressed and concerned about the implications of transformation. The EAP should be able to intervene to address issues that have been raised in the report.

#### EAPA-SA STANDARD (16) **ASSESSMENT AND REFERRAL**

EAP professionals or an assessment service under contract to the organization, will:

- Conduct an assessment to identify employee and/or family member and/or organizational problems;
- Develop a plan of action, and
- Recommend or refer the individual(s) to an appropriate resource of intervention, EAPA SA (2005:19).

It is the researcher's opinion that the problems listed in the report will be clearly assessed through EAP interventions. Furthermore it is also the opinion of this researcher that the EAP can develop a plan of action to address both individual and organisational problems.

Emener, Hutchison and Richard (2003:193) reflect on assessment and referral and state that the intention of this standard is to match the identified problems with the appropriate care. Assessments and appropriate referrals can result in improved job performance and employee well-being. The researcher is of the opinion that this standard will assist in matching the identified problems (as raised in the report above) with the appropriate care.

## **2.3 Report on Committee Enquiry into Labour Related Problems at Prison C**

### **2.3.1 Introduction**

The mandate of the investigators was to enquire into and make a total analysis of the causes of labour related problems within Prison C, (Jali and Barlow, 1996:2-3).

- To make recommendations as to steps that can be taken in order to rectify and promote sound labour relations, as well as to provide the department with a basis to manage the situation with the full co-operation and trust of all employees and to promote the process of transformation;
- To evaluate our findings against prevailing conditions at other areas of command to be indicated;
- To enquire into and report to the Minister on any other matters, which in the investigating team's opinion is relevant to the abovementioned concerns.

The investigators were of the opinion that the department's transformation of policies did not start with a work shopped and agreed action plan for transformation. This would include amongst others, the affirmative action policy. According to the members, the policy was never explained to them. The members stated that they were only advised that the programme was to follow the "Linda Human" document and they were to reach a target of 70% Blacks: 30% White employees by the year 2000, (Jali and Barlow, 1996:14).

The members also made an allegation that they had been threatened by some HIV positive prisoners with needles that contained blood. This had caused a degree of stress, (Jali and Barlow, 1996:29).

### **2.3.2 Transport**

The investigators (Jali and Barlow, 1996:31) were advised that 50% of the members at Prison C lived in the northern suburbs. They could not afford to live in the neighbourhood as it was very expensive. Members who reside at certain suburbs are provided with transport. However the members living in the northern suburbs were neither subsidized nor provided with transport.

### **2.3.3 Lack of Resources**

There was a complaint from the members about the general lack of suitable equipment for purposes of doing their work. The lack of facilities rendered the working environment difficult for members which added stress to an already stressful occupation. Members trying to perform their functions efficiently were hampered by the lack of resources, which included basic items such as chairs and tables. In general the items which were brought to the investigators attention as lacking within prison C were the following, (Jali and Barlow, 1996:34-35):

- Furniture;
- Intercom system;
- The absence of two way radios which were used by staff especially when they go into the sections;
- Poor maintenance of the prison by the Department of Public Works;
- The kitchen in Medium A was finished during January 1996. However, it was not functional as it did not have the necessary pots. The members were under considerable pressure from the prisoners as they could not provide hot food.

#### **2.3.4 Stress Management**

The investigators were of the opinion that working conditions led to a number of members taking stress leave. The investigators also were of the opinion that some of the members were exploiting the stress leave facility by taking such leave as soon as they had any misunderstanding or dissatisfaction with the head of their department. They felt that there were a large number of members who were stressed within the prison environment who needed assistance to cope within the work environment. In this regard, the department should, as the investigators previously recommended, conduct a thorough psychological study of the stress environment in which members work and should be advised by experts as to any assistance that may enable members to cope more adequately. It was felt that the department's proactive response in this regard would go a long way towards demonstrating to members that the department was aware of and concerned with the difficult environment in which they worked, (Jali and Barlow, 1996:35-36).



### **2.3.5 Training**

The investigators were of the opinion that there was a clear need for members to be trained in public relations, fundamental human rights and prisoners' rights. It is also necessary that headquarters be proactive in promoting the changes that are taking place within each prison; both in terms of prisoner's rights, rehabilitation of prisoners and the importance and valued work of members.

It was the opinion of the investigators that the vast majority of members were trained under the apartheid era and that training had since become inadequate and inappropriate for the realities of the day-to-day life of members operating under the new dispensation. The investigation also revealed that there was a need to revisit the training which was provided to the warders at the various training colleges in order to more appropriately relate to the new South African Human Rights culture. The investigators felt that the warders were not trained in respect of prisoner's rights. They were not adept at how to deal with prisoners who were demanding a right to which they may or may not have been entitled to in terms of the new constitution. When members were confronted by the demands for rights, they did not know how to deal with these demands. This subsequently led to frustration as well as, a feeling of helplessness and inadequacy and eventually to a total breakdown of discipline within the prison system, (Jali and Barlow, 1996:36-37).

### **2.3.6 Corruption and Demotivation**

The investigators were of the opinion that the level of corruption at prison C had increased (Jali and Barlow, 1996:38-40). This was highlighted by the high rate of smuggling, breakouts, the discovery of firearms found within the prison and recently the illegal possession of a hand grenade,

which exploded within the prison walls. The highly publicized incidence of corruption was a clear manifestation of the disciplinary system which was about to collapse.

The investigators believed that most staff members were demotivated and some had resorted to taking excessive stress leave. Furthermore, this was also manifested in the decline in the number of White members who were furthering their studies to improve their careers within the department. The investigators believed that the reasons for the decline in the number of White members were multifaceted, ranging from a sense of inadequacy on the part of members to cope with an ever-changing work environment to lack of funds and stress related to transformation itself. It is in this context that the investigators believed that a psychological analysis of the members' working environment would be invaluable to the department in accessing the steps that it should take to address the very real needs of members to improve morale and to help members cope with stress. Many members of colour were of the view that Whites had adopted an attitude to do as little work as possible to earn their monthly remuneration and that they would not contribute to promote transformation. In this context it was even alleged that some White members had stated that as they only stood a 30% chance of being promoted based on the 70/30 affirmative action policy, they would only perform 30% of their day's work. This negative attitude to their allocated duties was obviously a matter of some considerable concern. The reasoning behind such thoughts, if held by White members, would obviously also need to be addressed by means of a psychological analysis.

De-motivation however was not confined to White members only. There were members of colour who clearly showed signs of demotivation. The

cause of demotivation relating to the members of colour would also need to be addressed in the psychological analysis.

There is also the view that the department failed to recognize individual member' achievements within the department. Some members who had made every effort to improve themselves had not been given the necessary recognition by the department. It is believed that members who held university degrees could be better utilized if they were to be promoted to administrative posts within the department or prison.

According to the researcher the following standards can be linked to the investigation report at prison C.

#### EAPA-SA STANDARD (2) **NEEDS ASSESSMENT**

Programme design would be based on an assessment of organizational and employee needs as they related to EAP utilization. The background information and organizational data to be considered into the programme design would include at least:

- Organizational profile and needs;
- Employee needs;
- Supervisors and union representatives' needs; and
- Health care profiles and needs, EAPA SA (2005:9).

Emener, Hutchison and Richard (2003:189) clarify that programme design must be based on an appropriate needs analysis. If this is done correctly then the researcher is of the opinion that it will include the identified problems as indicated in the report above. Programme design would then incorporate the needs of employees.

The researcher is also of the opinion that any programme would be successful if it is based on organisational needs. The above report raised serious concerns by both management and members of the DCS and this was confirmed by the unions. The researcher therefore utilised the concerns raised in this report to determine the types of programmes that the EAP in DCS would deliver to members.

#### **EAPA-SA STANDARD (6) POLICY STATEMENT**

The policy statement would provide the guarantees, principles, and the rights and responsibilities of various stakeholders, such as the user, employer and provider, EAPA SA (2005:12). The researcher believes that this standard is important in the context of the report as it would be necessary to ensure that any future EA programme should inculcate the guarantees, principles, and rights and responsibilities of all stakeholders indicated in the report.

Emener, Hutchison and Richard (2003:192) indicated that confidentiality would be an important aspect to consider and that the EAP policy should include professional standards and ethics. It is evident from the report above that employees were not confident in the Department of Correctional Services' ability to resolve some of the issues raised. The researcher is of the opinion that this proposed standard could adequately address the issue of employee confidence and would add to the credibility of the programme.

#### **STANDARD (14) TRAUMA SERVICES**

The EAP will offer trauma defusing and debriefing services for employees, family members, and the organization in extreme situations. EAPA SA (2005:17). The researcher is aware that issues of stress and trauma have been raised in the report. He is of the opinion that the EAP in the DCS should address issues concerning stress experienced by members and

also offer services to family members and the organisation as well. While the report highlights issues of members, it is evident that management also needs assistance in this regard.

#### **STANDARD (19) FOLLOW UP AND AFTERCARE SERVICES**

The EAP will ensure that follow-up and aftercare services are provided to EAP clients, supervisors, and union representatives. EAPA SA (2005:23). The researcher acknowledges that issues raised in the report would not necessarily be addressed immediately. The researcher further recognizes that it would be incumbent on the DCS EAP to make sure entry-level services are adequate and to determine whether follow-up services are necessary.

Emener, Hutchison and Richard (2003:194) state that the availability of follow-up services will enhance the credibility of the EAP services. This course of action will also ensure that problems are resolved timeously. The researcher has indicated in the above report that employees are dissatisfied with the manner in which problems have been resolved.

#### **STANDARD (22) PROMOTIONAL MATERIAL**

EAP professionals will ensure the availability of promotional material and provide guidelines to facilitate the application of educational activities aimed at encouraging supervisors, managers, union representatives, peers, employees and family members to make use of the programme EAPA SA (2005:25). The researcher believes that the utilisation of the EAP will depend on how the programme is marketed. An additional challenge, as indicated in the report, is to remedy the lack of trust between the parties; this problem was highlighted through interviews conducted with members. Members as well as management and the unions will need to be educated on the benefits of the programme.

### **3. REPORT ON EMPLOYEE ASSISTANCE PILOT WORKSHOP (19 January to 15 April 1999)**

#### **3.1 Executive Summary**

The researcher had commenced with his studies on stress on the DCS in 1997 and decided to include his findings as motivation for the establishment of the EAP in DCS. The following statement, taken from the introduction of this study, is relevant for this section as it serves to illustrate the rationale for a stress reduction programme as well as the need for sport and recreation in the DCS. The results of the researcher's findings served to motivate management in the DCS to implement the EAP, (Bhoodram, 2001:2).

“Stress within the Department of Correctional Services is a growing concern both for Management and employees. This study is aimed at identifying stressors both from within and outside the work context, as well as reviewing the correlation between stress and physical activity (sport and recreation) in general. The parallel between specific stressors and exercise is also examined in the context of the Department of Correctional Services' sport policy.

Although there are numerous methods of reducing physical and mental stress this study proposes to view physical activity and recreation as a central part of life and wellness. The study draws attention to the fact that healthy physical activity and recreation is as conducive to good health as getting enough sleep and reiterates that participation in sport and recreation contributes to a balanced work life by providing restorative refractory periods as well as reducing stress levels. This study has shown that circumstances in the workplace, whether related to environment or interrelationships between people, are a major contributor to stress. The study also shows that the DCS has excellent sporting facilities in most

Management Areas and that these need to be utilised fully. The DCS sport and recreation policy should be reviewed to ensure that DCS employees make optimum use of the opportunities to participate in sport and recreation.” (Bhoodram, 2001:4)

The report presented below has been compiled by the researcher and the views expressed are those of the researcher. Arising from the recommendations of the investigation report, as well as a circular 3/4/5/14 forwarded to the Commissioner of Correctional Services on the establishment of an Employee Assistance Programme, the management of DCS decided to allow the researcher to conduct a pilot project on the EAP. The purpose of this pilot project was to make known the development of an EAP for DCS, specifically to communicate the progress to employees by affording them the opportunity to provide input into the manner the EAP should be structured within the Department of Correctional Services and to identify problems that hampered productivity.

The EAP workshops provided a platform for employees to voice their opinions on issues that they believe hamper performance and affect productivity. What became evident was that the Department had in the past apparently been largely insensitive to the needs of employees. The findings of this study revealed a number of concerns expressed by employees, including merit and notch increases, nepotism, victimisation, favouritism, stress, appointments and promotions, training, financial management, and ineffective communication. Employees generally felt neglected. They also believed that the Department placed more emphasis on the needs of prisoners, hence the view that "Human Rights" are only for prisoners, (Bhoodram, 1999:3).

The researcher is of the opinion that a major cause for concern is the belief that even though the Department has demilitarised, Top

Management style and culture is still largely militaristic and autocratic. According to popular opinion The Code of Conduct is ineffective in that it only exists to “adorn walls in offices”, an aspect that accentuates a grave cause for concern relative to the reshuffling of Provincial Commissioners and top management in Provinces. This situation has led to uncertainty and a lack of continuity within the Department. Any change at the top has a ripple effect at lower levels and contributes to instability if each member is not briefed thoroughly to anticipate and comprehend the ‘cause an effect’ of implementing change.

Perhaps the single area causing the greatest dissatisfaction in all provinces is the merit and notch increases. Most employees believe that the process of ‘awarding of merit bonuses’ is fraught with favouritism and subjectivity. Some regard merit committees as being incompetent in that they are ill-informed about the procedure to identify deserving employees and are also ignorant of the subject matter at their disposal; consequently this alleged perk is procedurally and substantively unfair to employees. While the vast majority of employees agree that the idea of incentive bonuses is essentially a good one, the present ‘subjective’ system should be scrapped with immediate effect and replaced by a more objective system that is based on merit and productive participation.

Nepotism, victimisation and favouritism within any organization are serious causes for concern. Employees are afraid to address issues because of victimisation. Some even attribute the transfer of employees to victimisation. Most employees are rendered helpless when confronted with the possibility of victimisation; besides they are of the opinion that the grievance procedure is ineffective. A large majority of employees attribute appointments or promotions to nepotism, (Bhoodram, 1999:4).



Stress within the work place appears to be rising as a result of increasing pressure to sustain a high level of efficiency, to adjust to profound change, and to meet the increasing demands of a modern working environment or industry. Employees have correctly linked stress to almost every common disease, from heart attacks to influenza, which poses a major barrier to personal health. Excessive or poorly managed stress levels can overwhelm the body's immune system thus putting employees at risk to a variety of stress-related ailments; many employees in the future risk suffering from burnout as a direct consequence of their job or work environment. The increasing pressure to accomplish more within a shorter space of time at a quicker pace with fewer resources and often lacking comprehensive or task-specific skills training has contributed to a nation of people suffering from personal ill-health. Several employees attribute substance abuse (especially alcoholism), absenteeism, and premature death to stress.

The findings of the workshops also reveal that there is uncertainty with regard to the Department's transformation process. Some delegates attending the workshop stated that reverse discrimination and racism had replaced the Affirmative Action and Equity policy and that minority groups were now being marginalised, Bhoodram, 1999:4).

Besides ascertaining problems that hamper productivity, the importance of the exercise was not lost in that employees were found to be overwhelmingly optimistic that something was being done to improve their circumstances. Their attitude and contributions at the workshops were offered in a positive spirit in anticipation of the establishment of the EAP infrastructure in the provinces.

The researcher is hopeful that the contents of this report will spur the Department into action to urgently address some of the issues raised.

However it should be emphasised that the EAP is not a “quick-fix” solution to the entire Departments’ problems, (Bhoodram, 1999:4).

Arising from concerns and problems, expressed by delegates attending the workshops, the EAP sub-directorate had devised recommendations (Bhoodram, 1999:5). The recommendations were presented to senior management and the researcher was given the mandate by the DCS to develop a plan to run workshops on a national level to obtain consensus and employee input in the implementation of an EAP in the DCS.

Yamatani (1993:65-81) proposes that the evaluation of any EA programme should also take into account ten types of evaluative studies. The following evaluative studies were conducted during the national workshops:

- Service needs assessment – establish the potential number of employees that may need EAP services.
  - DCS employees were requested to indicate the types of problems that affect them; how they overcome these problems as well as what other services they would like to receive from the EAP.
- External resources – an examination of outside agencies used including the extent and satisfaction.
  - DCS employees were asked whether they were aware of community resources that were available as well as whether they utilised these resources.
- Program constraint analysis – identification of sources of programme limitation.
  - DCS employees were asked to indicate whether they would like to have internal or external employee assistance practitioners as well as the levels of qualifications.

## **3.2 Project description and methodology**

### **3.2.1 Project goal**

The EAP sub-directorate led by the researcher embarked on this project to publicize progress achieved by the EAP within the Department of Correctional Services afford employees the opportunity to have their say about the direction the Department should be going, and market the concept. According to the researcher this project goal can be linked to STANDARD (2) which indicates that programme design should be based on an assessment of organizational and employee needs as they relate to EAP utilization. The background information and organizational data to be factored in the programme design will include at least:

- Organizational profile and needs;
- Employee needs;
- Supervisors and union representatives' needs; and
- Healthcare profiles and needs, EAPA SA (2005:9).

### **3.2.2 Objectives**

- to market the EAP
- to present a legislative framework and mandate for the EAP.
- to empower employees through group discussions and
- to identify needs

### **3.2.3 Methodology**

A series of workshops and group discussions with employees of the Department took place from 19 January to 15 April 1999. Complementary reading material about topics covered during the workshop was distributed to all attendees. In terms of the transfer of knowledge during the course of the workshop; this was achieved in the following ways: -

- presentations by personnel from the Equity Directorate

- participation and learning opportunities for employees through group discussion
- feedback in plenary
- concerns and the way forward, (Bhoodram, 2001:6).

### 3.2.4 Calendar of workshops

**Table 3.1 Workshops in DCS**

PROVINCE	DATE
NORTH WEST	19 JANUARY 1999
GAUTENG	26, 27 and 28 JANUARY 1999
MPUMALANGA	09 and 10 FEBRUARY 1999
FREE STATE	16 and 17 FEBRUARY 1999
NORTHERN CAPE	02 and 03 MARCH 1999
WESTERN CAPE	15, 16 and 17 MARCH 1999
EASTERN CAPE	29 and 31 MARCH 1999
KWA ZULU NATAL	12,13 and 15 APRIL 1999

### 3.2.5 Attendance of the workshops

The workshops targeted all employees within the Department. However, it should be noted that most of the workshops were attended by Correctional Officers I, II and III and Senior Correctional Officers. Many Provincial Commissioners and Area Managers did not attend. There were no prescribed requirements for attendance except that delegates should represent the entire vertical structure of the province, in terms of race, gender and disability. Approximately 40 delegates attended each of the workshops which included officials from certain unions, (Bhoodram, 2001:7).

### 3.2.6 Format of the report

This report contains information that was collated and analysed by the researcher. The recommendations are further based on issues and concerns raised by employees during group discussions.

### 3.2.7 Reconciliation of report presented by discussion groups

There were many issues raised by members during the workshops. The following questions were posed to groups to facilitate discussion coupled with the relevant responses from members, (Bhoodram, 1999: 6-54).

#### *a. Do you require an EAP? Motivate*

#### **YES – unanimous response from all areas**

- In the past greater emphasis was placed on the needs of the prisoner than on the needs of members. A reliable structure needed to be created to give special attention to also recognize the needs of members.
- Broadly, the EAP should help create a stress-free organisational environment that will result in a motivated workforce and improved or increased productivity.
- The EAP can help resolve personal problems such as alcohol abuse, substance abuse and financial management problems.
- The EAP can help to help improve communication within the organisation between all levels of management and personnel.
- The EAP can encourage cooperation, friendship, trust and openness among personnel, through learning and understanding the many facets and benefits of cultural diversity that prevails within the Department.

- The EAP can help address the needs of employees such as aftercare services for children and recreational facilities for personnel.
- The EAP can help resolve problems related to improper placement, and lack of induction or orientation, training and development.
- The EAP can assist in conflict resolution and discouragement of petty jealousy among personnel.
- The EAP can provide a reliable outlet where employees' problems (including family, community and job-related issues) can be handled confidentially.
- The EAP can help redress imbalances of the past that might have an adverse affect on some members' attitude and understanding of necessary change in the workplace, through counselling and also assist them through the transformation period.
- The EAP can help encourage training and empowerment to demonstrate to members the benefits of a participatory rather than an autocratic management style, (Bhoodram, 2001:6-8).

The question posed above can be linked to the standard that focuses on programme design which emphasises employee and organisational needs, EAPA SA (2005:9). It is also the researcher's opinion that the statement can be linked to the standard that focuses on the assessment of the organisation with the intention of developing a plan of action as well as recommending the individual for the appropriate course of action, EAPA SA (2005:19).

***b. What problems do you experience that have an influence on your job (personal, domestic or work related)?***

**Personal:**

- Financial problems emanating from lack of financial management skills resulting in debts; repossession of goods; unnecessary insurance policies and also maintenance of illegitimate children.
- alcoholism and substance abuse, stress
- Sexual problems related to stress and
- Fatigued while on duty.

**Domestic:**

- Lack of childcare facilities
- Extended families not covered by medical aid.
- Department is not sensitive to family needs during transfer e.g. securing a job for spouse.
- Lack of decent accommodation for family within reach of the workplace.
- Lack of transport for school children.

**Work related:**

- Lack of transport to and from place of work
- Insufficient and ill equipped offices
- Shortage of staff. Lack of proper compensation for members working two shifts , over-worked workforce, low productivity and low morale
- Lack of induction and training
- Certain members (e.g. nurses) forced to visit prison more often than others. Female members having to travel alone to prison for night visits. There is no accommodation in prison for members doing night duty.
- Lack of recreation and catering facilities within premises.
- Exploitation of sick leave and absenteeism

- Lack of cooperation, trust and discipline amongst members resulting from lack of understanding of cultural diversity.
- Lack of transparency and consultation by management on policy changes and decision making.
- Management/Supervisors with little or no management skills - hence autocracy prevails.
- The merit award system should be reviewed as it is considered to be unfair and biased, (Bhoodram, 2001:8-9).

The question posed above can also be linked to the standard that focuses on programme design, which emphasises employee and organisational needs, EAPA SA (2005:9). It is also the researcher's opinion that the statement can be linked to the standard that focuses on the assessment of the organisation with the intention of developing a plan of action as well as recommending the individual for the appropriate course of action, EAPA SA (2005:19).

Emener, Hutchison and Richard (2003:193) indicate that programme design includes the standards on:

- Advisory committee
- Needs assessment
- Service delivery systems

The researcher is of the opinion that programme design should be based on organisational needs obtained from an assessment carried out by the advisory committee to re-evaluate the service delivery systems.

**c. *How do you cope presently with these problems?***

- Most members "**DO NOT COPE**".
- No relevant structures available to assist personnel
- Some members choose to find solutions to their problems themselves because they do not trust those around them



- Some discuss problems with their peers, spouses, colleagues, preachers, external social workers or elder family members. Since Supervisors generally have their own problems to deal with, members choose not to approach them for help.
- On occasion members choose to approach shop stewards to discuss work-related issues.
- Other members are of the opinion that management will be unsympathetic to their problems, chiefly because management has "**demilitarised in uniform only**" and are believed to still follow an autocratic approach. Members strongly believe that although the uniform and ranks have gone; there is very little change in autocratic management styles.
- Some members resort to alcohol and substance abuse in the face of so-called insurmountable problems.
- Some members resort to absenteeism, taking sick leave to avoid facing problems or challenges at work..
- Those members who encounter financial difficulties attempt to solve their problems by borrowing money either financial institutions providing cash loans or loaning money from prisoners.
- Some members' inability to deal with problems within the workplace or who suffer from extenuating difficulties as a consequence, are referred to institutions like Weskoppies (Psychiatric Hospital), Bhoodram, 2001:10).

**d. *What needs or problems would you like the EAP to address?***

***The EAP should:***

- Introduce programmes on alcohol and substance abuse.
- Address the problem of absenteeism.
- Address heavy cigarette smoking motivated by stress and present programmes that can help members quit smoking and also reduce stress.

- Introduce practical programmes on topics such as self-motivation, self-development, career guidance and life skills.
- Encourage better human relations through training on cultural diversity.
- Empower members on how to interact with disabled people/personnel.
- Advise members on how to manage their personal finances and debt management.
- Encourage communication and conflict resolution among members.
- Introduce infectious disease awareness programs (e.g. AIDS, STDs), (Bhoodram, 2001:10-11).

It is the researcher's opinion that the above information can assist the Department in determining the types of services that should be offered to employees as indicated in STANDARD (14) The EAP will offer trauma defusing and trauma debriefing services for employees, family members, and the organization in extreme situations, EAPA SA (2005:17).

STANDARD (15) is also relevant here as it focuses on responsive intervention services for employees, family members and the organization in crisis situations, EAPA SA (2005:18).

Emener, Hutchison and Richard (2003:193) state that the EAP must be prepared to respond consistently and timeously to emergencies and urgent situations. The researcher agrees with Emener, Hutchison and Richard that members would be more self-assured and productive if their needs are anticipated and linked to harmonious solutions. The researcher also recognizes that many of the problems listed above can be responded to timeously, thus averting any further complications. .

**e. Who would you like to attend to your needs/problems and what qualities would you look for in this person?**

- Trained members in the EAP field
- Social workers
- Psychologists

**Qualities**

- Must be able to maintain confidentiality.
- Professionalism, relevant qualifications and experience.
- Must be respectable, friendly and show genuine respect to the employee
- Should have good communication skills
- Honest, reliable and maintain good interpersonal relations, as well as commitment.
- Be easily accessible and approachable.
- Be patient, fair, impartial and trustworthy
- Must be broad minded and caring, (Bhoodram, 2001:11-12).

The researcher believes that both STANDARD (8) and STANDARD (13) can be correlated with this question.

**STANDARD (8) QUALIFIED EAP PROFESSIONALS**

An appropriate number and suitably qualified EAP professionals should be available to achieve the stated goals and objectives of the programme, EAPA SA (2005:14).

**STANDARD (13) PROFESSIONAL REGISTRATION**

EAP professionals should register and maintain their registration with their respective statutory and/or professional councils and adhere to the codes of practice of such bodies, EAPA SA (2005:17).

***f. Where would you like this person to be based, and how many individuals would you need?***

- Recommended ratio of practitioner to members should be **1:200**.
- Preferably in management areas but operating outside the prisons environment.
- Must be within reach of the majority of members and easily accessible, (Bhoodram, 2001:12).

The question listed above can also be correlated with standard 8 mentioned above.

***g. Do you think an employee should receive free time from work for appointments with EAP practitioner? Motivate***

YES

- The problem might be serious and urgent and therefore likely to need immediate attention.
- A stand-in for the duration of a member's absence should be organized to sustain productivity.
- Legislation formulated by the Public Service Commission allows one to consult with an EAP practitioner during working hours as is the case with medical doctors, (Bhoodram, 2001:12).

The researcher understands that the above information will be contained in the policy document of the DCS and that STANDARD (10) will be relevant.

The written policy shall include a statement on confidentiality consistent with all professional standards, ethics and legal requirements which regulate the management of information, EAPA SA (2005:15).

***h. Do you have any other suggestions?***

- The EAP should be implemented immediately.
- There should be a 24 hour toll free number for the EAP.
- Management should not have access to members' confidential material.
- There should be a report to the province after the survey is completed, (Bhoodram, 2001:12-13).

**4. RECOMMENDATIONS**

The following recommendations were made by the researcher. For the Public Service, ensuring a supportive and participatory work environment is a new concept especially when one considers the legal framework within which the work environment in the Public Service had been founded. Although there hasn't been consensus on how a supportive environment can be defined, such as environment in this document can be defined as:

- *an environment which fosters a thorough and comprehensive analysis of people in the work place, work and organisation*
- *with distinctive elements that validate an in-depth understanding of the impact that work has on people and also the relative affects of that work in the way people within the workforce relate and react to one another.*
- *as well as organisational effectiveness that is founded on clearly outlined policies that support and uphold a philosophy of sustaining a work environment that is conducive to all aspects of occupational safety and health.*

Traditionally, employers had been regarded as people who knew best what employees had to do and what their needs and commitments were; employers therefore expected employees to perform their duties without

question. Hence, due to the autocratic style of management, employees were not given the opportunity to voice an opinion and had no say or voting rights regarding the managerial structure of the organisation as well as decisions made affecting their personal development. As a result, jobs were simply a means of earning a living. Employees under autocratic rule were supervised and subject to strict discipline merely as a means of inducing submissiveness. Consequently, the concept of work was narrowly defined and as a result employees put into effect minimal skills and no initiative in the routinised execution of their tasks. During this era little consideration was given to causes for job alienation that resulted in frustration and negative attitudes among employees. Alienation at work rendered employees powerless and the work that would allegedly benefit the organization lost its meaning since employees experienced no sense of pride or fulfilment from what they were doing.

In view of the impact of the said work environment, it was realised that if organisations are to survive and succeed in improving services that are to be delivered to the Public Service clients and ultimately, the Department of Correctional Services, something had to be done to create an environment that will ensure effective and efficient service delivery.

The Department of Correctional Services has an inherited culture and systems that need to be examined so that its policies, practices and structures can be aligned with Government policies and the Constitution.

Management, particularly Top Management at Head Office, is still viewed by many as being autocratic. There is widespread criticism of Top-down management especially in relation to the development of policy. Many employees were initially reluctant to participate in the workshop as they were under the impression that 'no matter what inputs we make, top management at Head Office already has decided the outcome for us.'

The recommendations based on this report are intended to provide avenues for consultation and establish mechanisms for the implementation of an Employee Assistance Programme in the Provinces. Flowing from the concerns raised and in fulfilling its duties inter alias of "**personnel wellness**", the Directorate of Affirmative Action makes the following wide-ranging recommendations :-  
(Bhoodram, 2001:13-15).

#### **4.1 EAP Plan**

- Vigorous efforts must be taken to market the EAP to all members of the Department, irrespective of race, gender, disability and rank.
- All appointees must receive comprehensive training.
- A proper structure must be developed that must include staff appointments for management areas.

#### **4.2 Programmes**

Awareness workshops or seminars must be held to brief members on the following:

- Information dissemination.
- Programmes to address the following needs :
  - Alcohol abuse
  - Substance abuse (e.g. drugs)
  - Coping with stress
  - Smoking cessation
  - Self-motivation
  - Understanding Cultural Diversity and disability
  - Personal Financial Management
  - Awareness Programmes e.g. AIDS and STDs.
  - Development programmes
- A newsletter/periodical must be developed and sent to Management Areas regularly.

#### 4.3 Services

Provision of the following services must be investigated:

- Aftercare services for children of members.
- Night visits to prisons and accommodation for members.
- Recreation and catering services.

#### 4.4 Human Resource Management

- Special attention must be given to needs of members.
- Structures to address these needs need to be put in place, (Bhoodram, 2001:15-16).

The researcher believes that these recommendations can be linked to STANDARD (21) **SUPERVISORY TRAINING**

The EAP will provide training for supervisors, management and union representatives to give them a clear understanding of the EAP. EAPA SA (2005:24) as well as STANDARD (22) **PROMOTIONAL MATERIAL**

EAP professionals will ensure availability of promotional material and educational activities and encourage the application of programmes by supervisors, managers, union representatives, peers, employees and family members, EAPA SA (2005:25).

#### 4.5 Mechanisms for implementing recommendations

To address the concerns of members and to implement the recommendations of the Directorate of Affirmative Action, the Employee Assistance Programme needs to be Marketed nationally by means of appropriate mechanisms (strategies) devised by the department. In devising such strategies the following key components should be considered:

**4.5.1 Human Resources** - Dedicated and capable EAP personnel must be identified within provinces to take responsibility for implementing the recommendations. This cadre of members, appointed within managerial



regions, will liaise with the EAP Sub-Directorate to facilitate the evaluation process and ultimate implementation of recommendations.

#### **4.5.2 Financial Resources**

Financial resources (and any other resources) outlined in budgets that are managed by Head Office and provinces should be made available for perusal by EAP management to facilitate the implementation of recommendations.

#### **4.5.3 Basic information systems**

An audit to verify the extent of information management in relation to the communication needs of members in the department should be carried out. Thereafter, appropriate information management infrastructure and communication facilities should be established and made accessible to all members.

- It was evident that members had needs which required attention.
- The Equity directorate would take the suggestions provided into consideration to provide direction to the National workshops commencing in January 1999.
- It is critical that members from Northern Province should be provided an opportunity to peruse the contents of the Report.
- In this regard the implementation of the recommendations would be after the National Workshops in 1999 where the inputs from Northern Province can be benchmarked against those of the rest of the country, (Bhoodram, 2001:16-17).

#### **4.5.4 Report conclusion**

This report provides an insight into problems, experienced by members, which impact negatively on work performance and productivity. Members are VERY pleased with the Department's decision to sanction the formation of an EAP. It was also evident from the workshops that there is

a lack of trust and that discrimination manifests itself in varied and subtle forms. The EAP will focus on needs of members. The following work plan and service standards were developed. The above mechanisms for implementing recommendations are closely linked to Yamatani's evaluation of an EA programme. Yamatani (1993:65-81) focussed on ten areas which include:

- Service needs assessment
- Compliance or legality assessment
- Program adequacy
- External resources
- Program effort
- Program effectiveness
- Program benefit equity
- Client satisfaction
- Cost/benefit and
- Program constraint analysis.

#### 4.6 Work plan

##### 4.6.1 Services

**Table 3.2 Operational Plan**

<b>DIRECTORATES PURPOSE OBJECTIVES</b>	<b>DESCRIPTION OF SERVICES</b>	<b>QUANTITY OF SERVICES</b>	<b>DELIVERY TARGET DATE</b>
To establish and sustain holistic support programme to assist personnel to overcome and prevent problems that may hamper job performance	<ul style="list-style-type: none"> <li>▪ To conduct a pilot project on the EAP</li> <li>▪ To conduct an induction and training programme for new EAP</li> </ul>	15 Workshops 65 Attended 1 Training programme for all appointees  5 visits to	5-9 October 1998  10-14 January 2000



	<p>appointees</p> <ul style="list-style-type: none"> <li>▪ To monitor the implementation of the EAP</li> <li>▪ To market the EAP by distributing pamphlets, posters and copies of the EAP policy</li> </ul>	<p>regions</p> <p>Management Areas</p>	<p>Ongoing</p> <p>December 1999</p>
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(Bhoodram, 2001:18)

#### 4.6.2 Services level standards

**Table 3.3 Services and Standards**

DESCRIPTION OF SERVICES	SERVICE LEVEL STANDARDS
1. Facilitation of National EAP Workshops	<ul style="list-style-type: none"> <li>▪ All attendees will be informed on the EAP</li> <li>▪ All attendees will formulate needs for the EAP</li> </ul>
2. Co-ordination of National EAP – focus month	<ul style="list-style-type: none"> <li>▪ All attendees will contribute to the formulation of the DCS – EAP policy</li> </ul>
3. Training and induction of new EAP appointees	<ul style="list-style-type: none"> <li>▪ All attendees will place the EAP onto the their local meeting agendas and inform others about the EAP</li> <li>▪ All members will be educated and informed about the EAP through pamphlets, brochures and talks</li> <li>▪ All new appointees will be inducted and</li> </ul>

	trained in the EAP field in January 2000
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(Bhoodram, 2001:19)

#### 4.6.3 Norms and standards

##### Critical inputs from provinces

The following inputs were received from the provincial workshops in terms of the implementation of the EAP. These inputs were to be implemented by the Head Office team.

**Table 3.4 Provincial Inputs**

INPUT DESCRIPTION	NUMBER	RETURN DATE
▪ Nominate members to attend National EAP Workshop	65	30 September 1998
▪ Make all arrangements for workshop including faxes to nominees, catering, venue, and transport as well invoices for expenditure	65	30 September 1998
▪ Area Managers to nominate EAP co-ordinator per management area	5	30 September 1999
▪ Provide operational support to newly appointed EAP members for provinces	1	After appointment
▪ Ensure that all members in the province have access to the DCS – EAP policy	788	<b>After finalization</b>
▪ Monitor implementation and provide feedback to EAP office quarterly		
▪ Nominate one co-ordinator per Management Area to co-ordinate activities for EAP focus month	1	Quarterly
	5	13 August 1999
▪ Co-ordinator to inform personnel and distribute literature about events		31 September 1999
	788	

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(Bhoodram, 2001:19)

#### 4.6.4 Risks

The following risks in the implementation of the EAP in DCS were identified and if not addressed, would potentially have an adverse affect on the implementation process. .

**Table 3.5 Risk Impact**

POTENTIAL RISK DESCRIPTION	POTENTIAL IMPACT	ESTIMATED PROBABILITY
<ul style="list-style-type: none"> <li>▪ Ineffective communication between Provincial Commissioner’s (PC) offices and nominees who would be attending workshops</li> </ul>	Members not attending workshops	20 %
<ul style="list-style-type: none"> <li>▪ Information not disseminated in time for focus month</li> </ul>	Limited focus on EAP	20 %
<ul style="list-style-type: none"> <li>▪ Delay in ratifying EAP policy in Bargaining Chamber</li> </ul>	Delay in implementing EAP	40 %
<ul style="list-style-type: none"> <li>▪ Delay in Appointing EAP members, for provinces (advertising and interviewing)</li> </ul>	Delay in implementing EAP	30 %
<ul style="list-style-type: none"> <li>▪ PC may not have personnel to spare in Management Areas to deal with EAP issues on an ad hoc basis</li> </ul>	Delay in implementing EAP	40 %
<ul style="list-style-type: none"> <li>▪ PC’s may not be able to support EAP personnel with transport, office space etc.</li> </ul>	EAP personnel may have difficulty in reaching all areas EAP personnel may have difficulty in	

	reaching outlying areas	
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(Bhoodram, 2001:20)

The information provided above can be associated with the following standards:

**STANDARD (7) IMPLEMENTATION PLAN**

An implementation plan shall outline the actions and schedule needed to establish an operationally effective EAP. EAPA SA (2005:13) as well as

**STANDARD (22) PROMOTIONAL MATERIAL**

EAP professionals will ensure the availability and use of promotional material and educational activities which encourage the use of the programme by supervisors, managers, union representatives, peers, employees and family members, EAPA SA (2005:25).

**4.6.5 Implementation report on the post establishment of the EAP in DCS (1999)**

Following the report released above, the DCS management decided to implement an EAP. A work study report was commissioned which contained the following information:

The work study investigator from the DCS conducted information sessions with the Department of Foreign Affairs and the Centre for Human Development. Thereafter on the 21 January 1999 the Management Board of the DCS took the decision to allocate EAP to personnel in a ratio of 1: 1000 (Makgamatha, 1999:9). It was also mentioned that 30 practitioners would be appointed as the DCS had an employee compliment of approximately 30 000. According to the researcher the only Public Service department that had an EAP in 1999 was the Department of Foreign Affairs and they were using the same norm. It was also decided by the work study officers that the EAP would be located in the bigger Management Areas and that the offices must be located strategically for

easy access. The issue of confidentiality was also addressed and was incorporated into the new EAP policy. The researcher was given the responsibility of establishing offices for all EA Practitioners.

The investigation document contains the following inserts:

- Review of the England (HM Prison) and their focus on how employees are continuously orientated in a health programme including following a balanced diet, stress alleviation, relaxation, smoking reduction, fitness evaluation, healthy living and increased productivity.
- Review of Georgia (Federal Law Enforcement Training Centre) and their focus on the promotion of a healthy lifestyle, principles of exercise, diet, rehabilitation of injuries, coordination of fitness and general health. Review of the South African Police Service (SAPS) and South African National Defence Force (SANDF) and their focus on psychotherapy, hostage negotiations, chaplaincy service and general health and safety.
- Review of the DCS and isolated attempts to promote the wellbeing of personnel including stress management, sport and recreation, and biokinetics. Complaints lodged included limited access to social workers and psychologists who, due to work obligations, had to attend to the needs of inmates and could only assist employees under exceptional circumstances.
- An interview with Tracy Harper – past president of EAPA SA, former EAPA SA Board member and consultant in the EAP field - indicated that the qualifications and specialty skills of an EAP should suit the needs of the organisation. According to Harper, there should be one-on-one counselling sessions, and the programme should be accessible to all. Harper also indicated that the programme should be strategically aligned, be case managed, focus on behaviour change and skills management, and that the

programme should focus on both healthy and unhealthy individuals, (Makgamatha, 1999:10-13).

The researcher is of the opinion that the following standards can be associated with the responses above:

**STANDARD (5) POLICY**

The policy shall describe the EAP in its entirety. EAPA SA (2005:11). The information provided in the interviews formed the basis for the DCS EAP policy in terms of types of services, confidentiality statement, focus of the programme and strategic alignment.

**STANDARD (6) POLICY STATEMENT**

The policy statement shall provide the guarantees, principles, the rights and responsibilities of the various stakeholders, such as the user, the employer and the provider. EAPA SA (2005:12). This standard is relevant in that it describes the rights and responsibilities of the various stakeholders as indicated in the investigation interviews.

**STANDARD (7) IMPLEMENTATION PLAN**

An implementation plan shall outline the actions and schedule needed to establish an operationally effective EAP. EAPA SA (2005:13). The researcher believes that this standard would comply with the investigation report as it would outline the actions to follow.

**STANDARD (8) QUALIFICATIONS**

An appropriate number of suitably qualified EAP professionals shall be available to achieve the stated goals and objectives of the programme. EAPA SA (2005:14). The researcher agrees with those interviewed that suitably qualified individuals will be required to fill the positions that would be created.



## STANDARD (9) CASE MANAGEMENT

Every EAP professional who provides services shall be in charge of performing ongoing consultations with relevant parties and/or collating information to report on case management. EAPA SA (2005:15). The researcher agrees with Tracy Harper that case management would form an integral part of EAP work.

The following norms for staffing for the EAP were established:

**Table 3.6 Regional Staffing Norms**

REGION	EMPLOYEES	Number of EAP practitioners
Eastern Cape	3969	4
Free State	3169	3
Gauteng including Head Office	7370	7
KwaZulu Natal	4291	4
Mpumalanga	2169	2
Northern Cape	840	1
Northern Province	785	1
North West	1731	2
Western Cape	5873	6
<b>TOTAL</b>	<b>30 197</b>	<b>30</b>

(Makgamatha, 1999:19)

Yamatani (1993:65-81), in evaluating an EA programme suggests the following:

- Service needs assessment – establish the potential number of employees that may need EAP services.
- Program benefit equity – an assessment of the equitable distribution of services to different population groups.
- Client satisfaction - obtaining opinions of clients about services delivered.

It is evident that when the post establishment for the DCS was being created issues of service needs, programme benefit as well as client satisfaction were taken into account. The information provided below addresses the issue of duties as well as staff and resources and this is also an area that Yamatani focuses on.

**4.6.6 The following duties of the EAP were also included in the document:**

***DEPUTY DIRECTOR EAP***

**PRIMARY DUTIES AND RESPONSIBILITIES**

**A. PROGRAMME MANAGEMENT AND ADMINISTRATION**

- Regular assessment of organizational and its employees' needs, in terms of the EAP and Organisational Culture.
- Quarterly visits scheduled to all Practitioners in all Provinces to monitor CRITICAL CASES.
- Development of an annual strategic plan and objectives for the EAP
- Preparation of the annual programme budget and monitoring of monthly expenses.
- Evaluation of the EAP process and outcome in terms of utilization, quality of services provided, and the attainment of programme objectives.
- Establish and monitor linkages with community organizations and resources.
- Participates in professional EAP organizations as well as provides consultation regarding EAP practice to the community.
- Establishes and maintains a program advisory committee with membership from a cross-section of the work organization; as well as elicit relevant advice on a regular basis.

## B. PROGRAMME SERVICES

- Provides consultation to the work organization regarding the development of policies and procedures related to EAP services, including alcohol and drug policy, drug testing, and AIDS policy.
- Ensures development and implementation of annual program promotion and awareness activities to employees and their family, such as educational workshops, newsletter articles, distribution of promotional materials, and so forth.
- Establishes and maintains working relationships between the EAP internal work organization, such as human resources, medical, training, union, and labour relations.
- Personally directs National Initiatives in Provinces e.g. Focus Month, Aids Awareness, etc.
- Meets regularly with Area Managers to re-evaluate the programme. Although this service was highly recommended to keep the programme current, it did not take place.
- Arranges National Conferences to publicize and aid the development of EAP.
- Facilitates National Workshops on Organisational Culture.

## C. HUMAN RESOURCES

- Develops and maintains an appropriate staff structure to provide high quality and timely services in the most cost-effective manner.
- Recruits, selects, trains, and develops members, followed by an appraisal procedure to identify staff members who are deemed capable of providing quality EAP services in an efficient manner.
- Constantly monitors progress in Management Areas and supports staff accordingly by offering relevant advice.

- Utilizes opportunities to share latest trends in the EAP field with staff.

### ***ASSISTANT DIRECTOR: PRIMARY DUTIES AND RESPONSIBILITIES***

#### **A. PROGRAMME MANAGEMENT AND ADMINISTRATION**

- Develops and implements standard operating procedures and practices for EAP service delivery that ensures client confidentiality as well as timely, ethical, and quality service.
- Establishes and maintains effective and confidential record keeping and data-management reporting systems.
- Assist in the following:
  - Evaluating EAP process and outcome in terms of utilization, quality of services provided, and the attainment of programme objectives.
  - Establishing and monitoring linkages with community organizations and resources.
  - Participating in professional EAP organizations as well as providing consultation regarding EAP practices to the community.

#### **B. PROGRAMME SERVICES**

- Supervises the delivery of assessment, referral, and short-term problem resolution, as well as follow-up and return-to-work services to employees/family members experiencing personal problems.
- Supervises the management of all critical cases.
- Ensures timely and quality supervisor training and consultation services.
- Providing direct EAP services as necessary.

- Providing assistance in development and implementation of annual program promotion and awareness activities to employees and family members including educational workshops, newsletter articles, and distribution of promotional materials.

#### C. HUMAN RESOURCES

- Recruits, selects, trains, develops and evaluates staff to determine level of competence to provide quality EAP services in an efficient manner.
- Provides ongoing supervision of all EAP services supplied to individuals and the work organization.
- Provides regular in-service training for EAP staff.

#### PROVINCIAL OFFICE LEVEL

##### SUMMARY OF DUTIES AND RESPONSIBILITIES

Coordination of all EAP operations in the Province comprises supervision of EAP services provided to employees, their families and the Provincial Office, while maintaining service quality and customer satisfaction.

COORDINATOR: Assistant Director/Senior Correctional Official

##### PRIMARY DUTIES AND RESPONSIBILITIES

##### PROGRAMME MANAGEMENT AND ADMINISTRATION

- Regularly re-assess the needs of the province and its employees.
- Prepare annual program budget for the Province and monitor expenses on a monthly basis.
- Evaluate EAP processes, quality of services and the attainment of programme objectives.

- Maintain effective and confidential record keeping and data-management reporting systems.
- Establish and maintain linkages with head office, community organisations and resources within the province.
- Maintain provincial database.
- Process provincial statistics and provide reports to head office on a regular basis.

#### EAP SERVICES

- Provides the delivery of assessment, referral, and short-term problem resolution, follow-up and return-to-work services to employee/families that have personal problems.
- Ensure implementation of annual programme promotion and awareness activities to employees and family members.
- Provide direct EAP services.
- Maintain standard operating procedures and practices with special emphasis on confidentiality, timely, ethical and quality service.
- Chair all provincial EAP meetings.
- Coordinate and control all Advisory Committees in Province.

#### HUMAN RESOURCES

- Provide ongoing supervision and support for all EA practitioners in his/her province.

#### AREA MANAGEMENT LEVEL

Summary of duties and responsibilities

To implement direct EA services to employers, their families and the area while maintaining service quality and customer satisfaction.

***EAP senior correctional officer: - primary duties and responsibilities***

**A. PROGRAMME MANAGEMENT AND ADMINISTRATION**

- Provide direct EAP services
- Regularly assess the needs of the employees
- Maintain effective, confidential record-keeping and data-management reporting systems
- Where necessary, assist in the preparation of annual programme budget.
- Evaluate the attainment of programme objectives.
- Provide regular feedback to Provincial Office and Head Office.
- Attend EAP meetings.
- Maintain standard operating procedures and practices for EAP service delivery that ensures confidentiality, timely, ethical and quality service.
- Establish and maintain linkages with community organisations within the area.

**B. EAP SERVICES**

- Perform assessments, referrals and short-term problem resolutions, follow-up and return-to-work services to employees/families experiencing personal problems.
- Assist in programme promotion and awareness activities to support employees, their families and the community.
- Rendering of EAP services to individuals and their families in the most efficient and professional manner.

## EAP SENIOR CORRECTIONAL OFFICER:

### PRIMARY DUTIES AND RESPONSIBILITIES

#### A. PROGRAMME MANAGEMENT AND ADMINISTRATION

- Assist in implementing standard operating procedures and practices for EAP service delivery that ensure client confidentiality, timely, ethical and quality service:
- Assist in maintaining effective and confidential record-keeping and data management reporting systems.
- Assist in evaluating EAP procedures and outcome in terms of utilization, quality of services provided and the attainment of programme objectives.

#### B. EAP SERVICES

- Assist in the delivery of assessment, referral and short-term problem resolution as well as follow-up and return-to-work services to employees/families that are experiencing personal problems.
- Assist in the implementation of annual program promotion and awareness activities to employees and family members including educational workshops, newsletter articles, and distribution of promotional material..
- Provide direct EAP services and maintain confidentiality.
- Assist in the management of all critical cases.
- Prepare reports and briefs.
- Co-ordinate and control logistics necessary for implementing training programmes for members.
- Co-ordinate monthly feedback meetings with Provincial co-ordinators.



## EAP CORRECTIONAL OFFICER

### SUMMARY OF DUTIES

#### PRIMARY DUTIES AND RESPONSIBILITIES

- Responsible for making and receiving telephonic calls and taking messages as precisely as possible.
- Keep record of appointments
- Arrange meetings and make bookings
- Receive clients and keep their names and consultations strictly confidential
- Receive guests
- Compile mail register and keep it up to date.
- Handle incoming and out-going mail and also distribute it.
- Arrange/prepare refreshments
- Follow up return dates
- Arrange transport/air tickets
- Handle all typing work including memorandums, faxes and letters, minutes of meetings etc.
- Keep filing system of all documentation.
- Handle claims for the sub-directorate
- Make Photostats
- Handle secretarial duties during meetings, (Makgamatha, 1999:44-50).

The researcher has been instrumental in developing the above duties in collaboration with the work study officer and is of the opinion that the duties listed above cover all 27 standards.

#### **4.7 DCS Annual Reports for the years 2000/2001, 2001/2002, 2002/2003, 2003/2004, 2004/2005, 2005/2006, 2006/2007.**

The researcher analysed the reports as indicated above, to determine whether they contained information on the EAP in the DCS. The following information is contained in the 2000/2001 Annual Report.

“The Department is confronted with a constantly changing, extremely competitive, cost-cutting, outcome-oriented national economy which demands nothing less than optimum productivity and performance levels from employees. To meet the demands of transformation, employees need to undertake heavier workloads and become accustomed to unusual working hours; consequently their jobs have become more stressful. The Employee Assistance Programme (EAP) has been established to assist the Department to meet these challenges.

The Programme is available to employees and their dependants and can assist with the early identification and resolution of a range of problems that may affect them. Typical complaints include marital problems, financial problems, alcohol and drug abuse or dependence, legal issues, emotional problems, stress, HIV/Aids or any other personal matter causing anxiety. The impact that overcrowding within correctional facilities has on the stress levels of personnel within the Department was investigated. The investigation indicated that overcrowding had a serious effect on the emotional well-being of personnel and is the primary cause of many stress-related issues. Other problem areas were also identified and recommendations made to create a working environment that would contribute to the harmonious interaction between employees and employees and inmates, thus creating an overall stress-free setting. This would enable personnel to explore their optimal potential, put into effect their abilities and skills in the performance of their duties and ultimately enhance their involvement in the rehabilitation of prisoners. (DCS Annual Report, 2001: 23-24).

The following table was prepared by the Department of Public Services and Administration and forwarded to the DCS for completion.

**Table 3.7 DPSA Input**

<b>QUESTION</b>	<b>DETAILS, IF YES</b>
Has the department designated a member of the SMS to implement the provisions contained in Part VI E of Chapter 1 of the Public Service Regulations, 2001? If so, provide her/his name and position.	Yes. Mr M M M Ngubo who is the Deputy Commissioner: Supply Chain Management.
Does the department have a dedicated unit or have you designated specific staff members to promote health and well being of your employees? If so, indicate the number of employees who are involved in this task and the annual budget that is available for this purpose.	Yes. The Department has an EAP Unit with 23 personnel members attached to this unit.
	Yes. Staff members are interviewed and in 327 cases the members were referred to a psychologist
Has the department established (a) committee(s) as contemplated in Part VI E.5 (e) of Chapter 1 of the Public Service Regulations, 2001? If so, please provide the names of the members of the committee and the stakeholder(s) that they represent.	Yes. There are 25 members serving on the committee.
Has the department reviewed the employment policies and practices of your department to ensure that these do not unfairly discriminate against employees on the basis of their HIV status? If so, list the	Yes. The Department's HIV/Aids Policy was reviewed and amended during the year.

<p>Has the department introduced measures to protect HIV-positive employees or those perceived to be HIV-positive from discrimination? If so, list the key elements of these measures.</p>	<p>Yes. Continuous awareness campaigns are held. Literature was distributed, posters displayed, workshops and information sessions arranged, etc.</p>
<p>Does the department encourage its employees to undergo Voluntary Counselling and Testing? If so, list the results that you have achieved.</p>	<p>Yes. The results are not available yet.</p>
<p>Has the department developed measures/indicators to monitor and evaluate the impact of your health promotion programme? If so, list these</p>	<p>Yes. The Post Exposure Prophylaxis Protocol was developed and distributed for consultation purposes.</p>

The 2001/2002 report includes the following information:

Does the Department have a dedicated unit or has it designated specific staff members to promote the health and well-being of your employees? If so, indicate the number of employees who are involved in this task and the annual budget that is allocated for this purpose.

Has the Department introduced an Employee Assistance or Health Promotion Programme for your employees? If so, indicate the key elements/services of this Programme.

- Consultation and training to appropriate persons to further the identification and resolution of job performance issues related to employees' personal concerns and difficulties
- Confidential, relevant and timely problem assessment services
- Appropriate referrals for diagnosis, treatment and assistance
- Short-term counselling

- The formation of linkages between the work-site EAP, community resources and individual practitioners who provide such services
- Follow-up services for employees who utilize these services, (DCS Annual Report, 2002: 195).

The following article appeared in the 2003/2004 Annual Report, (DCS Annual Report, 2004: 123).

The following information was an integral part of the DCS 2004/2005 Annual Report:

- Approved policy and increased participation in employee wellness programmes
- Trained 200 peer educators, dealt with 625 cases of alcohol abuse, provided marriage counselling to 576 families, dealt with 272 cases of stress, 273 cases of depression and attended to 294 financial management cases.
- The EAP, gender and equity policies were reviewed.
- The Code of Conduct, EAP and HIV/Aids policies were also aligned.
- The DCS has also monitored and evaluated the programme and has a comprehensive list of indicators, (DCS Annual Report, 2005: 144).

The focus on wellness in the 2005/2006 Annual Report included the following information:

- Receipt of quarterly reports from all regions as part of the monitoring and evaluation process
- The launch of the first DCS Trauma Centre in the Western Cape
- HIV/Aids strategy developed and consulted
- Wellbeing strategy developed and consulted nationally

- Appointment of Occupational Health and Safety managers
- Compliance audit conducted in Gauteng
- Training of regional coordinators and inspectorate on OHS Act

The 2006/2007 Annual report focussed on the following areas:

- Baselines for the Employee Assistance Programme (EAP) have been established and approved.
- Draft employee Health and Wellness Policy and procedures were developed.
- A National Implementation Plan for Health and Wellness was developed.
- National audit of EAP posts happened. EAP service standards were developed and approved.
- Consultations with labour unions on the EAP Supervisory Training manual took place.
- Baselines for HIV/Aids are still being established. A national audit of HIV/Aids is currently underway.
- Implementation of the results of the National HIV and Syphilis Prevalence survey
- A national risk mitigation framework for wellness was developed. A pocket-size booklet on the Code of Conduct and Batho Pele principles were printed.
- Training of personnel on the Code of Conduct took place.
- OHS audit/inspection was finalised at training colleges and Head Office.
- Statutory appointment was finalised. Draft procedure for OHS programme was finalised.
- OHS committee was established but is not yet functioning - still waiting to be trained.
- The annual EAP budget is R 4, 3 million, (DCS Annual Report,

2007:35).

- The Department has integrated HIV/Aids into a broader health and wellness programme.
- The Wellness Committee comprises of the DC: Equity and Recreation-Mr H Davids, the Director HR Support Mr PA Bhodram, the Director Sport and Recreation Mr MD Jobodwana and the Director Facilities Fund Mr N Lebogo. Where necessary this committee co-opts the Director Spiritual Care and specific external services providers.
- The committee's aim is to oversee the health and wellness of all employees of the Department. In addition the Risk Management Committee is also monitoring the interventions and programmes provided for HIV/Aids as the third highest risk factor in the Department.
- The Department has a draft Employee Health and Wellness Policy and Procedures. Section 7.3.2 in the policy addresses discrimination against employees on the basis of their HIV/Aids status.
- The Code of Conduct, the Employee Health and Well-ness Policy and the Equity policy protects HIV positive employees against discrimination. The Department respects the Constitution of South Africa as well as the Basic Conditions of Employment Act.
- From October to December 2006 employees participated in voluntary counselling and testing (VCT), which was part of the Employee Health and Wellness Programme that ran concurrently with the HIV and Syphilis Prevalence survey. Top management participated in VCT which encouraged a higher participation rate nationally and this assisted in minimising the stigma of HIV/Aids, (DCS Annual Report, 2007: 157-158).

The researcher is aware, from the extracts above, that the annual report for 2000/2001 includes the most comprehensive report on the EAP. Thereafter the reports are not as comprehensive and tend to focus more on the HIV and AIDS aspect. The Annual Reports however succeed in keeping track of the development of the EAP in the DCS including:

- The establishment of the EAP in the 2000/2001 report;
- Response to the DPSA questionnaire on HIV/Aids;
- EAP Core technology questions in the 2002 report;
- Policy formulation and training as well as case management in the 2005 report;
- Reporting on strategy development in the 2005/2006 report;
- Policy and procedures, baselines, implementation plans and audits in the 2007 report.

## **5. CONCLUSION**

The researcher has attempted to collate the information provided in the reports discussed in this chapter, with the criterion that defines the standard of the EAP in DCS to show the relevant developments. As stated in the introduction to this chapter and in chapter one the researcher quoted Patton in Fouché and De Vos (2005:108) who indicated that the evaluation of a programme would involve the systematic collection of information about that programme, with the intention of making judgements, improvements, and informed decisions about future programming. Thus the researcher has focused on the collection of information on the pilot projects, national workshops, and mandates from management, and work study investigations as well as annual reports to motivate how the programme has been implemented in the DCS. The information presented in this chapter also indicates that service needs legality issues, program adequacy, external and internal resources, the need to assess the processes in the implementation of the programme,



programme effectiveness, client satisfaction, cost/benefit identification and of sources of programme limitation have been addressed. Yamatani (1993:65-81)

## CHAPTER 4: EAPA-SA STANDARDS – A THEORETICAL OVERVIEW

### 1. INTRODUCTION

The Employee Assistance Professionals Association – South African Chapter (hereafter known as EAPA SA), developed the Standards for Employee Assistance Programmes in South Africa in 1999 and revised it in 2005. As the researcher was an EAPA SA Board member and subsequently President of EAPA SA when the standards were developed and revised, he is aware that the 27 standards contained in this document were based on the EAPA International Standards and that the standards covered represent not only the national agreed level of professional best practice for EAPs but also the basic principles and key elements that EA programmes should contain.

The word “**standard**” is defined in the Oxford English Dictionary as the “**level of quality or attainment**” and also as “**something used as a measure, norm, or model in comparative evaluations**”. EAPA SA (2005:6) defines ‘standard’ as “**the agreed level of best practice or description of the ideal situation**”. The researcher is of the opinion that the EAPA SA standards document provides a very good framework of best practice for implementing an EAP in any setting.

Emener, Hutchison and Richard (2003:187) state that EAPs need to be designed, organised and operated in accordance with currently accepted EAP program standards which provide the spirit, intention and guidance for efficient and effective EAPs and EAP service delivery. They go on to state that the purpose of the EAP standards is to:

- Define the EAP as a profession
- Describe the scope of EAP services
- Educate the community regarding EAP services

- Suggest applications for program standards, guidelines and definitions
- Serve the needs of EAPA membership

In this chapter the researcher will present each standard as it appears in the standards document and comment briefly on each standard.

## 2. STRUCTURE

“It should be noted that these Standards are presented as guidelines for EA Programmes and should be adapted, without compromising the underlying principles, taking into account the status of the programme, i.e. design, maintenance or enrichment phase.

This document is structured in such a way to facilitate easy reading and is structurally formatted as follows:

- **Standard** (the agreed level of best professional practice or description of the ideal situation);
- **Goal** (a broad general description explaining the purpose of the standard);
- **Objective** (describes the specific elements of the goal);
- **Motivation** (reason behind the standard);
- **Criteria** (these features must be present to meet the objective of the standard and for the service to be described as an EAP);
- **Guidelines** (these discuss the various professional options, the best practices evolved in certain situations and offer ideas to those tailor-making their services to meet both typical and unusual customer requirements.).

## 3. PURPOSE

The purpose of this document is as follows:

- To promote quality Employee Assistance Programmes;

- To describe the scope of EAP services;
- To operationalize programme standards and guidelines;
- To educate the workplace community regarding EAP services; and
- To serve as a guide for EAPA membership and related professionals.
- To enhance the quality and functioning of existing Employee Assistance Programmes,” EAPA SA (2005:6).

#### 4. DEFINITION OF AN EAP

“The EAPA defines an EAP as:

***An Employee Assistance Programme is a worksite-based programme designed to assist in the identification and resolution of productivity problems associated with employees impaired by personal concerns, but not limited to: health, marital, family, financial, alcohol, drug, legal, emotional, stress, or other personal concerns which may adversely affect employee job performance,”***

EAPA SA (2005:6)

“The specific core technologies of EAPs include the following:

##### **Consultation and training:**

Consultation with, training of and assistance given to facilitate organizational leadership (managers, supervisors, and unions) sought to manage the troubled employee, enhance the work environment and improve employee job performance; outreach to support and educate employees and their family members about availability and guarantees (i.e. confidentiality) of EAP services.

##### **Problem identification and assessment:**

Confidential and timely problem identification/assessment services for employee clients with personal concerns that may affect job performance

**Constructive confrontation:**

Use of constructive confrontation, motivation and short-term intervention to assist employee clients to address problems that affect job performance

**Referral for diagnosis, treatment and assistance:**

**Referral of employee clients for diagnosis, treatment and assistance plus case monitoring, follow-up and aftercare service**

**Consultation to work organization:**

Consultation provided to work organization to encourage establishing and maintaining effective relations with treatment and other service providers, and managing provider contracts.

**Consultation with work organization for health:**

Consultation provided to work organization to encourage availability of and employee access to employee health benefits covering medical and behavioural problems, including but not limited to alcoholism, drug abuse and mental and emotional disorders.

**Evaluation:**

Identification of the effects of EAP services on the work organization and individual job performance.”

EAPA SA (2005:6-7)

EAP Core Technology has been discussed in detail in chapter two. As stated in chapter two, Maynard (2004: 36) indicates that while EAP core technology defines the approach to the profession and that while EAP core technology is at the heart of this line of work, it should not restrict the boundaries of the field. The researcher agrees with this viewpoint and is of the opinion that the focal point of EAP development in South Africa is evident where the boundaries of the field have been widened.

## **NOTE**

***“EAPs deliver comprehensive, quality services to three target groups:***

- ***the organization management / supervisory structures,***
- ***worker organizations, and***
- ***employees and their family members,”*** EAPA SA (2005:7).

## **5. SIGNIFICANCE AND USE OF PROFESSIONAL STANDARDS**

“Adherence to professional standards and guidelines ensures viable programmes. The guidelines are non-regulatory and its purpose is to assist all relevant stakeholders in establishing quality EAPs in accordance with international best practices and enhancing existing EAPs. The application of the contents of “STANDARDS FOR EMPLOYEE ASSISTANCE PROGRAMMES IN SOUTH AFRICA” will ensure quality EAPs, but should not limit the importance of organizational customization. In recognising this flexibility, many of the guidelines illustrate that there are a variety of ways in which standards can be implemented. When designing, implementing or evaluating an EAP, each organization should apply these standards and guidelines based on its own unique organizational culture and operation,” EAPA SA (2005:7). The researcher would like to add to the comments above by stating that the implementation of the standards will also ensure that there is uniformity in application. It would also ensure that while the standards can be adapted and customised to the organisation, the foundation would be similar.

## **6. GLOSSARY**

“(Not to be seen as definitions but rather as descriptions).

- ***Aftercare*** – Assistance to an employee to reintegrate into the workplace following treatment;

- **Chemical dependency** – psychological and/or physical dependency on alcohol and/or other drugs;
- **Client** - individual/group/family member utilising the Employee Assistance Programme due to personal and/or work related problems;
- **Consultation** - process of interaction with another professional in order to verify or confirm specific information;
- **Counselling** - therapeutic intervention by a trained professional, i.e. social worker, psychologist or psychiatrist;
- **Crisis** – A stressful life experience that upset the normal functioning of an individual or family and threatens the stability and ability to cope or function;
- **Customer** - a corporate client, i.e. a company, organization having a formal agreement with a service provider;
- **EAP** – Employee Assistance Programme;
- **EAPA** - Employee Assistance Professionals Association;
- **EAPA-SA Board** - Elected Board of the South African Chapter of EAPA;
- **EAP professional** - a professionally trained person, performing EAP specific related tasks, i.e. therapy, counselling, marketing, evaluating;
- **EAP practitioner** - a person - not necessarily a professionally trained person - performing EAP specific related tasks, i.e. referral, liaison, training;
- **Employee** - a person legally employed by an employer, whether part-time, full-time or temporarily;
- **Employer** - anybody having legal status and providing employment to people and providing payment for services delivered;

- **External agency** - an agency providing psychosocial services to an employer and his employees and their dependants;
- **External resource** - any acknowledged resource in the community, providing services;
- **Follow-up** – With the referring manager/supervisor on job performance after the re-entry of an employee who has undergone treatment;
- **Intervention** - therapeutic and professional guidance to any employee in order to overcome his/her problem;
- **Manager** - person in a position of supervisory power with added status and authority;
- **Marketing** - promotion of a specific service to potential customers and employees of existing clients;
- **Regional EAPA Branches** - a number of EAP professionals, grouped together and associated/affiliated with EAPA SA in a geographical area with the view to grow professionally and to promote the EAP;
- **Service provider** - an agency providing professional services to clients and customers according to a formal contract;
- **Supervisor** - a person in a position of authority and who oversees the performance of subordinate staff;
- **Therapy** - assessment and treatment(based on a brief solution based approach) of a troubled employee;
- **Training** - Orientating employees and training Managers through means of didactic lecturing, modelling, interaction and role-plays;
- **Trauma** - Any event resulting in extreme emotional reactions in people in the present or future. An event which is generally considered to be outside the range of ordinary human experiences;



- **Treatment** - intervention with a troubled employee by exploring his/her feelings and guiding him/her through a process of recovery;
- **Troubled employee** - an employee suffering any personal or work related problem, resulting in a lack of optimal economic and social functioning;
- **User** - any person/company making use of services and facilities according to a contract;
- **Well-being** - a positive state of physical and emotional wellness;
- **Wellness** - an employee in good shape, resulting in a high level of productivity;
- **Worker representative** - a person with a specific task to act as a spokesperson for the labour movement.” EAPA SA (2005:7-8)

The researcher believes that the following can be added to the list above:

- **EAPA SA** – Employee Assistance Professionals Association of South Africa

## 7. STANDARDS

### 7.1 PROGRAMME DESIGN

#### 7.1.1 ADVISORY / STEERING / EAP COMMITTEE

**STANDARD (1)**

***“There should be an Advisory Committee at the highest possible level within the organization involving representatives of all segments of the workforce.***

## **GOAL**

To ensure that all relevant role players in the organization, such as top management, employees, supervisors and union members contribute to the effective design and operation of the EAP.

## **OBJECTIVE**

The function of the Committee should be defined in terms of the status of the programme e.g. design phase, maintenance phase and enrichment phase

The function of the advisory committee is:

- To formulate policy and strategy
- To advise on the implementation procedure;
- To assist directly with the marketing and promotion of the EAP; and
- To contribute to the evaluation procedure.

## **MOTIVATION**

The appointment of an Advisory Committee representing all the relevant groupings within the organization will ensure maximization of the potential for a highly effective programme.

## **CRITERIA**

The Advisory Committee should primarily consist (inter alia,) of representatives of and guided by the structures and practices in the organization

- Senior management;
- Human Resources;
- Medical departments;
- Occupational Health and Safety
- Finance department;

- Training and development;
- Safety and loss control;
- Union/Employee/worker representatives;
- Line management;
- Employee relations specialists; and
- EAP professional/professionals.

## **GUIDELINES**

- An organization with many single parents and immigrants in its employ should ensure representation on the Advisory Committee;
- A small company could nominate a single functionary to co-ordinate the functions of an Advisory Committee;
- Leadership/Chairmanship of the Advisory Committee should change regularly;
- Invite members of the Advisory Committee to attend training sessions on EAP-related matters;
- Advisory Committee members should review statistics and trends on utilization;
- Advisory Committee members should make recommendations on programme enhancement and alignment,” EAPA SA (2005:8-9).

The functions of the Advisory Committee, according to Googins and Godfrey (1987: 164 – 165) and Stoer – Scaggs in Oher (1999:41), can be summarized as:

- Programme support and legitimacy
- Resource for information – organizational profiling and needs assessment.
- Ensure linkages with all relevant stakeholders

- Program design – advice on policy, goals, objectives, implementation plan and procedure, program services,
- Marketing
- Evaluation and critical feedback regarding the program initiatives
- Ongoing review of operations
- Supporting EAP confidentiality safeguards

Googins and Godfrey (1987: 164 -165) indicate that the EAP should develop a relationship with a variety of stakeholders: labour, management, personnel, labour relations, medical personnel and others. They go on to state that the advisory board is the formal mobilization of support which is necessary for the EAP and its services to become known, needed, trusted and accepted throughout the corporation or union. Others within the client system whose combined expertise help shape the programme and in doing so develop a degree of ownership for the EAP to assist the programme in its quest for legitimacy.

The researcher believes that this is one of the most important standards as it serves to provide the EAP with information on the role players within the organisation. The advisory committee is also an important avenue to ensure commitment from the different role players and can be invaluable when support for the programme is needed. This standard will also ensure that there is participation and ownership from the relevant components.

## 7.1.2 NEEDS ASSESSMENT

### **STANDARD (2)**

***“Programme design shall be based on an assessment of organizational and employee needs as they relate to EAP utilization. The background information and organizational data to be considered into the programme design will include at least:***

- ***Organizational profile and needs;***
- ***Employee needs;***
- ***Supervisors and union representatives’ needs; and***
- ***Health care profiles and needs.***

### **GOAL**

To ensure that programme planning and development includes an assessment of the needs of the employee population and the organization for which they work. This assessment is intended to help the organization determine the most appropriate and cost effective methods of providing EAP services.

### **OBJECTIVE**

The function of a needs assessment is to ensure that the right approach is followed in the design of the EAP.

### **MOTIVATION**

The needs assessment enables the EAP Professional to design the most appropriate and cost effective EAP.

### **CRITERIA**

The needs assessment should be conducted in a factual, objective and unbiased manner.

## GUIDELINES

Construction of a comprehensive organizational profile, including:

- Type of organization;
- Number of work-sites;
- Types of jobs/work, products;
- Size of workforce and demographics;
- Employee needs in terms of skills, health, employee diversity, gender, and ethnicity.
- Gathering of information in order to identify HR problem areas, such as:
  - Compensation claims;
  - Absenteeism patterns;
  - Sick leave abuse;
  - Disciplinary activities;
  - Grievance actions," EAPA SA (2005:9-10).

The researcher views the needs assessment in EAP as an integral aspect of the planning phase of an organisation. The researcher also believes that this standard creates a basis for a structured and systematic process of engaging with a client system with the purpose of understanding its characteristics, functioning, needs, goals and resources. This can be done with the purpose of designing a beneficial intervention, developing a relationship and setting baseline data for later evaluation. The researcher is also of the opinion that the realization of this standard has been neglected by several organisations in South Africa. In his interaction with several national departments, the researcher observed that some of these departments had introduced employee assistance programmes without first conducting needs analyses.

Grissom, Baldadion and Swisher (1988:81) offer an additional benefit of needs assessment in that: “the needs assessment process is itself one method of promoting awareness of services whilst simultaneously gathering data in support of program development.”

It is important to understand what type of EAP is best suited to the characteristics, problems, and resources of an organization to be relevant and meaningful. This condition is echoed in an explanation by Berman, Sulsky, Pargament, Balzer and Kausch (1991:22) that the needs assessment should address the issue of pertinent problems parallel to the impact on employee self-esteem and productivity.

Berman et al (1991: 22 -25) discuss the needs assessment as a process that involves a variety of different data collection methods and also the benefits of conducting an EAP needs assessment as follows:

1. It provides an external, objective confirmation of the subjective process of planning an EAP;
2. It can identify opportunities to put together cost-effective EAP services;
3. The composition of the workforce in terms of age, gender and marital status for example may indicate the need for different types of services or a combination of services;
4. It can identify barriers to the use of the EAP which can be addressed prior to implementing services;
5. The information can serve as a benchmark for determining if and how well the program is working and whether aspects need to be elaborated or eliminated;
6. It provides information on the size and scope of the relationship between job performance and personal problems;
7. It can provide an estimate of the savings, in terms of time and money spent on consultations and therapy sessions with an employee and

family members, and loss of active on-the-job activity that can be achieved by having an EAP.

Paul and Masi (2002: 13) indicate that modern services can be evaluated by addressing the following needs:

- Individual services
- Group services
- Management consultation
- Web services
- Educational materials

Paul and Masi go on to add that when they conducted a need analysis to determine preparedness to manage disasters they found that many organisations were not well prepared. The researcher is of the opinion that while needs analyses can be used to anticipate needs and ascertain a direction for service delivery; they can also be used to determine preparedness in terms of response to crises.

### 7.1.3 SERVICE DELIVERY MODELS

**STANDARD (3)**

***“There should be an appropriate model for service delivery for specific employer organisations.***

**GOAL**

To ensure that the most effective model of service delivery exists, which will enhance the services to the organization both in terms of the individual client and the corporate client.



## **OBJECTIVE**

To ensure through selecting the most appropriate model, i.e. on-site/ in-house or off-site/outsourced, or a combination, the cost effectiveness and functional appropriateness of the EAP.

## **MOTIVATION**

The selection of an all-embracing EAP model will enhance the credibility of the service and demonstrate that the programme is mindful of utilizing limited resources while at the same time illustrate its adaptability in terms of best practices.

## **CRITERIA**

The following should be considered when selecting a suitable EAP model to ensure it complies with:

- Existing business practices and philosophy
- The size and structure of the organization
- The geographical location
- Accessibility to community resources
- In-house capacity
- Preferences of the employees

## **GUIDELINES**

All pros and cons should be considered (such as confidentiality,

- 365 days/24 hours coverage, in-house staff on leave etc.)
- The following should be considered:
  - Office space and administrative support
  - Locality in terms of anonymity and confidentiality
  - Legal compliance in terms of storing documentation
  - Accessibility to outside clinical resources

- An ‘in-house’ programme should be put into operation that engages staff participation in cooperation with the employer
- An ‘outsourced’ programme should be put into operation that engages the employees of a service provider selected and contracted by the employer
- In combination, certain services should be provided in-house (e.g. training) while other services (e.g. clinical/counselling) should be outsourced,” EAPA SA (2005:10-11)

Organisations differ in their requirements relating to EAP models. Some models may be more viable for an organisation while others may not. The apt choice of EAP models are identified as the result of a dynamic combination of organizational characteristics, such as size, complexity, and resources as well as management philosophy, community resources, and organizational history, according to Gould and Smith (1988: 10).

The criterion to be considered in choosing an appropriate model is outlined in the Standards Document (2005:10) as: existing business practices and philosophy, size and structure of the organization, geographical location, accessibility to community resources, in-house capacity and preferences of the employees. The specific models and combinations thereof are explained in detail in Chapter Two of this research report.

The researcher realises that it is up to the implementers of the programme (EAP, HR and management) to make the decision about the selection of an appropriate model for service delivery. The standard benchmark would, however, need to indicate who should determine the choice of an appropriate model, which may include the Advisory Committee. The researcher is also aware from his interaction with different departments

that this standard benchmark is not being applied consistently as departments tend to opt for an outsourced programme when they do not have a strong in-house EAP to manage the programme. The decision to outsource is usually not based on the guidelines presented in the standard but merely on the whim of a particular manager. The following guidelines indicated in the standard are generally not considered:

- Office space and administrative support
- Locality in terms of anonymity and confidentiality
- Legal compliance in terms of storing documentation
- Accessibility to outside clinical resources

The researcher is only aware of a few departments that have conducted an inspection of the service providers' premises to determine

- whether the service provider has sufficient office space and administrative support
- whether client appointments will remain anonymous and therefore maintaining client confidentiality
- whether documentation is managed correctly and stored safely
- whether referrals to contracted resources are managed correctly

#### 7.1.4 PRICING MODELS

##### **STANDARD (4)**

***“Pricing of EAPs should be negotiated and agreed upon between the service provider and the employer, after different models had been considered. Models should be transparent and acceptable to all role players involved.”***

##### **GOAL**

To ensure the best possible application of financial resources.

## **OBJECTIVE**

To justify the balance between expenditure and benefits received.

## **MOTIVATION**

The selection of a pricing model should ensure that the needs of the employer in terms of benefits and minimal administrative burden are met.

## **CRITERIA**

- The selected manner in which pricing of EAPs are determined should be compatible with the overall philosophy of the employer/organisation and its business practices.
- Healthcare benefits should be considered when selecting a pricing model.

## **GUIDELINES**

- A detailed analysis should be made of the proposed pricing model during the programme design phase.
- Comparison should be drawn on the pros and cons of all options.
- The pricing model should be communicated to all stakeholders to ensure a clear understanding of its various functions and objectives.
- Every effort should be made to discourage Managers to split the cost of services between the numbers of clients who have used the service and thereby deducing that the service is too expensive.

The following guidelines should be considered when different options of pricing models are being considered:

- cost for the total service

- fee-for-service strategy
- percentage co-payment by the health care provider
- percentage co-payment by the client/employee
- limited clinical services EAPA SA (2005:11).

Bradman (2003:7) focuses on full disclosure when service providers present options for pricing of EAPs so that comparisons can be made in the areas of:

- Ownership – Is the EAP owned by licensed practitioners? Hospitals? Insurers? Investors, payroll administrators or employee leasing firms?
- Funding – Is the EAP funded or supported by any sources beyond scheduled payments of clients? Is the EAP receiving fees for selling ancillary products or services?
- Conflicts of interest – Are there any direct or indirect organizational self referrals, insurance billings for EAP cases, profit affiliations or disguised referral fees?
- Phantom panels – Are advertised providers and locations equally accessible and adequate?
- Provider qualifications – Are the professionals who directly and personally render clinical services licensed, insured and credentialed? Does the EAP provide clinical supervision of lesser-qualified staff?
- Number of visits – Are patients receiving or accessing the advertised number of visits? Do EAPs that advertise “unlimited” sessions actually provide them? Does an EAP engage in practices that limit visits (e.g. telephone therapy, internet-based services and referrals out of the EAP)?
- Usage reports – Are utilization data valid and reliable according to usual statistical standards? In arriving at “usage units”, have face-

to-face counselling sessions been mixed with telephone calls to the scheduling centre, informal contacts with client account, case management by administrative staff, programme promotion activities, or web site interactions?

In choosing an EAP model, the organisation should balance EAP costs with benefits that the organisation would hope to receive. Cost considerations should include:

- Marginal costs or change in costs that would result from adding additional client services, for example: an assessment and referral service is only slightly cheaper than a program that also includes some short-term counselling;
- Service comparability allows for comparisons between inpatient versus outpatient treatment and also cost versus effectiveness;
- Method of pricing for the different program models involves taking into consideration per capita costs versus an overall cost;
- Workforce size – some experts are of the opinion that at least 3000 employees are needed to justify the cost of an in-house program, according to Myers (1984: 79).

Maynard (2005: 38) indicates that the relentless downward pressure on prices and budgets for EAP services is a serious concern. He goes on to say that he believes the root cause for this downward pressure has little to do with poorly outlined regulations and lack of definitions or ethics but more about the fact that many in the EAP field are trying to sell the concept to the wrong customer. Maynard further indicates that the EAP when targeted to suitable customers should also demonstrate how purchasing its expertise can be profitable for its customers.

Holloway (2006: 20) states that while small businesses represent one of the most viable markets for EAP, marketing and selling this service can be

challenging. He also states that owners of small businesses should be given the opportunity to test the validity of an EAP product as a tool to prove that it can facilitate profitable financial decisions; consequently, the selling price of the product is crucial. He goes on to state that it is important to build relationships with owners of small businesses and that the overall cost of the product is an important consideration.

This standard according to the researcher applies to both combined as well as external models of EAPs as references are made to ‘service provider’ and the ‘employer’ as well as ‘pricing’ which implies that the EAP is a marketable commodity. The researcher is of the opinion that pricing is the single most influential determinant when services are to be outsourced. The researcher has interacted with several government departments who tend to place too much emphasis on the cost of the service which might far outweigh the perceived value of the product or service; rather the ideal would be to create an authentic balance between the cost and the quality of the product or service. The researcher has also discussed the different models in Chapter two in detail.

## **7.2. IMPLEMENTATION**

### **7.2.1 POLICY**

#### ***STANDARD (5)***

***“The policy shall describe the EAP in its entirety.***

#### **GOAL**

To ensure that the principles and focal areas of the EAP are fair, consistent and balanced with regard to the interests of all the different stakeholders

## **OBJECTIVE**

- To ensure that all relevant systems are clearly described to ensure effective operational activities

## **MOTIVATION**

A clearly written policy will enhance the outcomes of the EAP

## **CRITERIA**

A policy should meet international best practices by:

- Being clear and specific
- Creating a climate which is conducive and attractive for user access
- Protecting the interests of all stakeholders

## **GUIDELINES**

The policy should make provision for matters such as:

- Employee and dependant access
- Managing alcohol and other drug abuse, emotional, marital, family, financial and HIV/Aids and other related problems which may affect job performance, employee functioning and quality of life;
- Securing job status which will not be jeopardized as a consequence of seeking EAP services, except where mandated by law.
- Specifying that employees who use an EAP are expected to adhere to the job performance requirements of the employer;
- Client/user records which shall be kept strictly confidential to the extent provided for by law and/or regulation, and will not be noted in any official company record or in the employee's personnel file.
- Information from the EAP which may only be released with the written permission of the employee, with response to legal requirements.



- The EAP not being abused by non-complying employees,” EAPA SA (2005:11-12).

The EAP is a programme designed to work in a specific kind of environment and for it to be effective there must be a policy in place. However, while the policy provides credibility and is therefore important, it needs to be activated to facilitate a successful EAP. To be effective, the policy must be compatible with performance appraisal systems, grievance processes, disciplinary procedures, insurance policies and above all guarantee employee confidentiality in order for the EAP to be viable, according to Googins and Godfrey (1987: 125).

Myers (1984:123 – 129) refers to the policy as an “EAP statement”, which incorporates goals, policies and procedures. Myers offers a model illustrating an EAP statement to assist organizations, which covers the following headings:

- Introduction,
- Companies view on personal problems and the role of the EAP in the organization,
- The EAP goals,
- The responsibilities of the EAP,
- Management, union and employees;
- Policy disclaimers,
- EAP procedures,
- EAP location,
- EAP staff,
- EAP records and evaluation.

The researcher is of the opinion that the above description of policy standard does not fully address the full extent of the policy framework. This standard, together with the next standard on the policy statement, does not indicate the strategic link between the EAP and the strategic direction of an organisation. The researcher has been successful in implementing the EAP in the Department of Correctional Services because of the strategic alignment of the EAP with the DCS strategic framework. The understanding that the policy is the strategic and operational framework for the EAP and that the implementation thereof is dependent on alignment does not exist in the standard document. The researcher is also of the opinion that the policy should be informed by mandates and legislation, aspects which are not addressed in the standards document.

## 7.2.2 POLICY STATEMENT

### **STANDARD (6)**

***“The policy statement shall provide the guarantees, principles, the rights and responsibilities of the various stakeholders, such as the user, the employer and the provider.”***

### **GOAL**

To provide a public document that can be displayed in various work-site environments focusing on the critical components of the EAP

### **OBJECTIVE**

- To educate all employees in terms of the commitment of the employer regarding the interest of its employees
- To enhance the confidential nature of the EAP

### **MOTIVATION**

A well documented policy statement will enhance user acceptance and will eliminate confusion and conflict among all stakeholders.

## CRITERIA

The policy statement should at least include the following:

- The organization providing EAP services to its employees shall recognize that a mentally and physically healthy employee is an organizational asset;
- That the availability of appropriate EAP services is beneficial to both labour and management.
- The importance of confidentiality

## GUIDELINES

- Brief – i.e. one page, poster format suitable for display in well-populated areas
- Available in different language groups – determined by demographics of the work force,” EAPA SA (2005:12).

Phillips (2006: 18-19) states that EAPs have adapted to meet new challenges not only in terms of reach but also in terms of service offerings and service models. He feels that the ongoing challenge is to communicate how these innovations fit into a particular company's overarching objectives and this can be achieved by utilising the policy statement. EAP decisions must not be oblivious to strategic objectives, organisation's vision and goals. The EAP policy statement can be utilised for such an alignment. Phillips also states that EAP services and products connect to the bigger organisational picture and that the policy statement can exemplify this.

Myers (1984: 117-120) describes a policy statement as one that explains:

- the significance of employee problems and the proportion of the workforce usually affected.

- that an EAP is being implemented to address these problems through a combination of prevention and confrontation
- problems to be treated in the EAP
- that client confidentiality is assured for all referrals and EAP records
- how family members are covered if they are eligible for services
- client services that will be provided by the organization
- the responsibilities and involvement of the union, provided one exists.
- disclaimers regarding the EAP and management's authority to discipline deficient employees, union prerogatives to represent members or client employees' employment and career advancement.

Many authors do not make a distinction between the policy and the policy statement. It is the understanding of the researcher that the policy statement summarizes the essence of the EAP policy, reflecting its core concepts and values, main principles and elements of the EAP as well as management's commitment to the programme. It is a statement endorsed by management that summarizes the essential elements of the policy as well as management commitment in respect of:

- Human resources
- Financial resources
- Equipment and office space
- Protection of the rights of the employee especially with reference to confidentiality

### 7.2.3 IMPLEMENTATION PLAN

**STANDARD (7)**

***“An implementation plan shall outline the actions and schedule needed to establish an operationally effective EAP.”***

## **GOAL**

To ensure that the implementation plan and schedule reflect all the essential core technologies

## **OBJECTIVES**

The objectives of the implementation plan shall establish the EAP as an integrated service within the organization, by stipulating amongst others the following:

- Actions needed
- Timeframe
- Resources

## **MOTIVATION**

The function of describing and documenting the plan eliminates confusion, which could negatively affect the on-going evolvement of the EAP. Successful rollout is dependent on a well-developed implementation plan.

## **CRITERIA**

A document signed off by all stakeholders. This document is reviewed annually during the evaluation process.

## **GUIDELINES**

- Special provision may be needed for programme implementation at work-sites geographically distant from urban localities;
- The implementation plan outlines the actions and responsibilities of all stakeholders, resources required and deadlines.
- The implementation plan should set objectives regarding utilization and number of referrals from risk groups;
- The implementation plan should set objectives regarding management-/ supervisory and union training;

- The implementation plan should consider the following: geographical location, organizational demographics and staffing depending on the service delivery model, EAPA SA (2005:12-13).

Monfils (1995:263) discusses Dr Deming's PCDA (Plan, Do, Check, Act) tool where the first quadrant called 'Plan' involves data collection and a process improvement plan based on that data. She suggests that the PDCA Cycle can also "be applied to the implementation and ongoing management of an EAP within a company." The first stage involving needs assessment and the development of an implementation plan is based on the data collected.

The researcher is of the opinion that this standard does not fully incorporate all aspects of the implementation of the EAP. The researcher believes that the following areas are crucial in the implementation of the EAP:

- Management commitment and support
- Conceptual definition and programme design
- Programme implementation including:
  - Programme activation
  - Marketing and promotion
  - Staff selection
  - Operations and administration
- Monitoring and evaluation

## 7.3 MANAGEMENT AND ADMINISTRATION

### 7.3.1 STAFFING

#### **STANDARD (8)**

***“An appropriate number and suitably qualified EAP professionals shall be available to achieve the stated goals and objectives of the programme.”***

#### **GOAL**

To ensure that the number of EAP professionals employed and their qualifications match programme needs, whether the EAP is internal and/or delivered by external providers.

#### **OBJECTIVE**

- To employ an appropriate number of staff to achieve the goals and objectives of the EAP;
- To ensure that all EAP staff meet professional and legal requirements;
- To ensure that all professional staff involved comply with continuous professional development (CPD) requirements
- To assign an appropriate level of administrative staff to support the EAP, who are sensitive to the confidential and ethical issues of the programme.

#### **MOTIVATION**

To ensure a minimum staff complement which can be justified in terms of cost and benefit to the organization.

#### **CRITERIA**

- Organizations that choose to contract EAP services from an external provider shall have at least one suitably qualified person

with formal responsibility for coordinating the delivery of services and monitoring provider performance;

## **GUIDELINES**

The following factors could be considered when determining the ideal staffing level for an EAP:

- Geographic location of the workforce;
- Ethnic and cultural mix of employee population;
- Job descriptions for each EAP staff member,” EAPA SA (2005:13).

Emener, Hutchison and Richard (2003:52) state that the EAP Coordinator should possess expertise in:

- Alcoholism and its treatment,
- Marriage and family counselling,
- General emotional problems,
- Other typical problems such as financial and legal issues,
- Basic interviewing skills,
- Counselling and case management skills because they are central to service delivery.

Dickman, Challenger, Emener and Hutchison (1988:303) confirm that a review of literature and the authors’ experiences strongly indicate professional leadership from a skilled professional who must have credibility in the eyes of the employee is a critical attribute of a successful EAP, especially when it comes to data integrity, monitoring and evaluation. They also go on to state that professional evaluations can assist professionals in modifying their professional services.



Dickman, Challenger, Emener and Hutchison (1988:305) state that EAPs of the future would need to be specialised, highly skilled and professional if they are to offer services and training in the following fields:

- Communication
- Assertiveness
- Parenting
- Retirement
- Sexuality
- Loss and death
- Victim assistance and
- Day care

The researcher strongly believes that the EA programme will retain its professionalism if this standard is implemented successfully. Competent, professional EAPs add credibility to a programme and the researcher fully supports the idea of continuous professional development so that the EAP can be abreast of the latest trends and add value to organizational functioning.

### 7.3.2 EAP CONSULTATION AND CASE MANAGEMENT

**STANDARD (9)**

***“Every EAP professional who provides services shall be subjected to ongoing consultation and/or case management.”***

**GOAL**

To assure the quality of services

## **OBJECTIVE**

To protect the client/employee's interests and to enhance the specialist EAPs professional knowledge, attitude and skills

## **MOTIVATION**

To enhance the specialist expertise of the EAP to create a potentially profound effect on their clients via consultation and case management; clients are thus assured quality services. Consultation and case management prevents isolation and professional burnout.

## **CRITERIA**

Consultation and case management should follow a structured approach under the guidance of a well-experienced consultant.

## **GUIDELINES**

- Case managers/consultants should be experienced," EAPA SA (2005:14).

The objective of this standard as stated above is to protect the interests of both the organisation and its employees. It also focuses on professional development of the EA practitioner, EAPA SA (2005:14).

Craig (1997: 63 – 69) explains that in-house EA programmes are growing in complexity and that there is an emergent demand for bottom-line functioning. She goes on to say that professional counselling can be both financially and professionally beneficial to an organisation in the same way as is motivated in the Standards above. Craig also states that the primary purpose of clinical supervision is to effect quality and efficiency in the practice of counselling. It aims to:

- refine counselling skills;
- enhance and develop the ability to organize professional practices;

- assist in the determination of priority of focus; and
- ensure ethical accountability in the practice of the profession.

Craig indicates that internal EA programmes are integral to employee benefit packages and goes on to suggest that the “Employee Assistance Program needs a complementary component: a program of professional clinical supervision apt to accurately address the therapeutic concerns of the practice, while at the same time having real and functional autonomy from the organization.” Craig also intimates that the benefits of a well supervised programme are attractive and that it contributes to the positive perception of the organisation.

The researcher agrees with Craig when she states that disciplined efficiency in the application of the programme is essential, Craig (1997: 68). The researcher is also of the opinion that it is necessary to have an experienced manager to co-ordinate case management, especially in a large organisation. The researcher has also found that, regular meetings of EAPs are necessary in the DCS to discuss case management scenarios. The researcher has also requested experienced case managers in the DCS to mentor those who are less experienced in these matters.

### 7.3.3 CONFIDENTIALITY

**STANDARD (10)**

***“The written policy shall include a statement on confidentiality consistent with all professional standards, ethics and legal requirements which regulate the management of information.”***

**GOAL**

To promote confidentiality

## **OBJECTIVE**

To protect the privacy of the individual employee and the interests of all stakeholders

## **MOTIVATION**

The EAPs credibility is dependent on the preservation of confidentiality.

## **CRITERIA**

A written statement regarding confidentiality should be included in all relevant documents.

## **GUIDELINES**

- Written consent is required for disclosure of situations that form part of the ethical and legal standard where confidentiality needs to be breached;
- Confidentiality should not be confused with anonymity;
- Limits to confidentiality need to be defined (i.e. fraud, child abuse, espionage and danger to self/others),” EAPA SA (2005:14).

Confidentiality refers to the professional EAPs obligation to uphold the privacy of therapeutic or consultative communications between client and service provider. Such information must not be divulged to another party without the client’s permission; professional EAPs are obligated to ensure that their practice procedures and protocols comply with this obligation, Winegar (2002:57).

Mistretta and Inlow (1991: 84) state that confidentiality is the cornerstone of every EAP, a decisive factor that makes it possible for an EAP professional to deliver maximum benefits to employees who then perceive the program as a safe environment where problems are dealt with in a professional manner. By the same token, the employee should also feel

protected against job loss, criminal sanction, or embarrassment. Personal communication between the EAP professional and the employee, as well as the records documenting the encounters, must be protected.

There are however limitations to confidentiality, mandated by statutes in certain states, which exempt the EAP professional from keeping information confidential. This is also the case in South Africa according to the researcher. These limitations include: if the purpose of client disclosure is in the furtherance of a crime or fraudulent; if the client has waived the right of privilege; if the disclosure relates directly to facts or circumstances of homicide; or if a lawsuit for malpractice has been filed against the professional. Other instances may include child abuse or if the behaviour of an individual poses a serious risk to others. While confidentiality is crucial to the success of an EAP, Misretta and Inlow (1991:85 – 86) caution that this is a difficult legal issue that EAP professionals may be required to contend with.

The researcher cannot over-emphasise the importance of this standard, especially in South Africa where EAP is still in its infancy stages. He is also of the opinion that the issue of counselling as a means to identify and eliminate employees' personal problems is often viewed with suspicion, chiefly because clients mistrust the promise of confidentiality. It is therefore necessary to ensure that convincing guarantees are in place regarding confidentiality, in order to gain the trust and co-operation of a client. The researcher is also of the opinion that the standard should focus more on the crucial aspect of introducing informed written consent and in this regard believes that since an individual can give consent without being aware of the consequences EAPs are morally obligated to inform their clients about the implications and consequences of granting written consent to which they are legally bound.

### 7.3.4 RECORD KEEPING

#### STANDARD 11

***“The EAP shall maintain records.”***

#### GOAL

To ensure proper and accurate recordkeeping

#### OBJECTIVE

To design and maintain a system that meets international standards for the capturing and maintenance of records, regarding the following:

- Administrative matters;
- Documentation regarding meetings;
- Clinical information;
- Corporate client information;
- Evaluation data;
- Marketing and promotional material; and
- Training material.

#### MOTIVATION

To ensure quality and continuity of care to sustain occupational safety and health to employees and their family members, as well as the organisation

#### CRITERIA

A system which captures relevant written and electronic data which is regularly up-dated and accessible in a structured manner to stakeholders

#### GUIDELINES

- Client/User records should be managed in a confidential manner and secured under lock and key

- Records should be retained in accordance with legal requirements,” EAPA SA (2005:14-15).

According to Googins and Godfrey (1987:127 -128) EAP keeping a record of performance information is an essential part of any process where clients are encouraged to confront their problems in order to take responsibility for their situation. They also state that the record keeping system consists of safely stored, confidential material gathered through approved organizational channels as well as from outside treatment agencies and from the client. These records are necessary for assessing problems, confronting denial and evaluating outcome. It can also be useful in other functions such as promoting the EAP function within the organization.

In the researcher’s experience, recordkeeping is an essential function on many levels: it enables the EAP to provide important feedback to Management on client demographics well-managed records are essential to summarize problems for purposes of identifying trends to facilitate the planning of primary and secondary prevention programmes; to monitor utilization and referral sources; and to defend litigations. The issue of electronic recordkeeping versus a paper-based approach is however not discussed in this standard, especially in relation to confidentiality. The researcher is of the opinion that the process of storing confidential information should be addressed in this standard as well as the length of time records should be stored.

### 7.3.5 PROFESSIONAL LIABILITY INSURANCE

**STANDARD (12)**

***“All EAP professionals shall have adequate professional liability insurance.”***

## **GOAL**

To protect the EAP professional and the customer from potentially damaging litigation concerning the delivery of services.

## **OBJECTIVE**

- To take relevant precautions necessary to address legal challenges concerning the delivery of services;
- To maintain financial resources sufficient to ensure continuation of the programme during and following litigation.

## **MOTIVATION**

Adherence to this standard minimizes the risk of exposure by protecting the professional.

## **CRITERIA**

Sufficient liability insurance for EAP professionals, financed by either the individual or the employer, regardless of registration - enhances the standing of professional service delivery.

## **GUIDELINES**

- Professional indemnity insurance should preferably be obtained via relevant statutory bodies.
- Premiums are normally paid by employers” EAPA SA (2005:15).

EAP work by its very nature can lead to litigation against the EAP or the organisation, and professionals should create a relevant means to protect themselves against legal action by clients alleging malpractice. The researcher believes that while this standard is definitely necessary, it is currently not being implemented in South Africa. The researcher is unaware of any Public Service department in South Africa that implements this standard.



According to EAPA SA (2005:15) the objective of this standard is to take necessary precautions to address legal challenges concerning the delivery of services while at the same time endeavour to accumulate adequate financial resources to ensure continuation of the programme during and following litigation, should this occur.

### 7.3.6 ETHICS

#### **STANDARD (13)**

***“EAP professionals shall register and maintain their registration with their respective statutory and / or professional councils and adhere to the codes of practice of such bodies.”***

#### **GOAL**

To ensure professional behaviour and customer protection

#### **OBJECTIVE**

To ensure professional behaviour at all times according to the Codes of Ethics of relevant professional bodies.

#### **MOTIVATION**

EAP professionals are responsible for the consequences of their actions. A potential conflict may arise when an EAP professional provides services beyond core EAP technologies.

#### **CRITERIA**

Professionals shall have the necessary skills and knowledge regarding the philosophy and best practices of the EAP.

## GUIDELINES

- Core technology should be clearly addressed in the contract and/or internal philosophy of the EAP in order to eliminate possible conflict.
- The Code of Conduct of EAPA SA can be utilized as a guideline for both members and non-members of the mentioned association,” EAPA SA (2005:15).

Winegar (2002:55-56) explains that ethical standards focus on human behaviour and motivation aimed at the highest ideals of human interaction. He also goes on to state that over the past century, various counselling professions have emerged with their unique set of professional codes of ethical conduct. However, in general, these codes are based on the premise that professionals hold a judiciary or special ethical responsibility for the benefit of their clients. Counselling professionals provide a service assisting individuals come to terms with personal problems by establishing a relationship of trust while also combining both high-minded ethical principles and taking elements of criminal law into account.

The researcher understands the need for EAP professionals to register and maintain their registration with their respective statutory and/or professional councils and adhere to the codes of practice of such bodies, especially since the commitment endorses accountability, standards on ethics and professionalizing the EAP. In terms of expanding the criterion and guidelines of the standard the researcher also believes that issues of misconduct, removal from practice and disciplinary procedures should be elaborated on. The standard would also achieve its purpose better if it outlined the ethical issues in the definition of Employee Assistance Practice.

Some of the ethical issues relating to EAP practice, discussed by White, Sharar and Funk (2001:38); Winegar (2002:56-58); Caron (2003); include:

- Privacy and confidentiality
- Conflict of interests – balancing ‘individual client’ versus ‘organization’.
- Informed consent
- Termination of services – does the service contract end when the employee no longer works for the employer?
- Competence of EAP practitioners / contractors / referral resources
- Shift to cost containment / managed care
- Loss of boundaries around employee assistance functions and competencies
- Misrepresentation in marketing / advertising.

## **7.4 DIRECT SERVICES**

### **7.4.1 TRAUMA DEBRIEFING**

#### **STANDARD (14)**

***“The EAP will offer trauma defusing and trauma debriefing services for employees, family members, and the organization in extreme situations.”***

#### **GOAL**

To respond to traumatic situations in a timely fashion, consistent with organizational policies.

#### **OBJECTIVES**

- To provide trauma defusing services immediately to affected employees;
- To provide trauma debriefing services in response to identified traumatic situations;

- To participate in decision-making processes about organizational policies which affect the company's response to traumatic situations.

## **MOTIVATION**

- In order to maintain its relevance and credibility it is essential that the EAP respond effectively to traumatic situations;
- Timely defusing of and subsequent debriefing of traumatic situations may lessen or prevent long-term difficulties or dysfunction, both on an individual and organizational level.

## **CRITERIA**

- EAP staff should be trained in the principles of trauma defusing and debriefing;
- The EAP coordinator/manager should ensure that all sections/departments of the organization are briefed about the procedure to be followed in a traumatic situation.

## **GUIDELINES**

- The EAP prepares a step-by-step procedure guide identifying actions to be taken during trauma defusing by staff, management, and employee assistance professionals;
- The EAP establishes procedures for trauma debriefing services,”  
EAPA SA (2005:16).

McAninch (2006: 16) states that EAPs need to change the manner in which they treat disasters as some perform debriefings within 24-48 hours of a disaster and leave. Industrial disasters can range from the suicide of a colleague to a natural disaster such as a tornado. He goes on to state that each of these incidents require a complex trauma debriefing service conducted by experienced, formally trained, and emotionally seasoned

EAPs. McAninch defines the approach in planning an intervention in trauma debriefing to include:

- Target. Identifying those who need assistance
- Type. Determining the type of assistance needed
- Timing. Identifying when the assistance will be most appropriate
- Theme. Building the most inclusive trauma intervention package
- Teams. Determining the correct resources that will be needed

Beidel and Brennan (2006: 29-30) indicate that the theory and practice of trauma response and management are continuing to evolve and challenge the ability of the EAP. Many EAPs do nothing more than “debriefing” for any person or group that has been through a trauma or critical incident in the workplace. They go on to say that the EAP should provide a spectrum of services enabling the EAP and the organisation to respond to needs specific to the particular incident, trauma or disaster. Critical incident stress management services have been embraced by many EAPs. These services have to be both culturally sensitive and portable. Beidel and Brennan also state that the best time to respond to a traumatic incident is long before it occurs and affects an organisation.

According to Cunningham (1994: 176), problems that occur in the workplace that are generally acknowledged to be traumatic or of crisis proportions to a significant percentage of the workforce will be encountered by EAPs. EAP staff may have the primary responsibility for coordinating all of the activities required to minimize the effects of the trauma while supporting the organization’s need to carry out its normal work responsibilities.

The researcher agrees that trauma intervention is particularly useful for the South African context where a high incidence of violent crimes

including rape, armed robbery, high jacking, murder and domestic violence is prevalent. He however is also of the opinion that the standard does not define “extreme situations” and that trauma counselling should not only be available for extreme situations but for any traumatic incident and must form part of EAP service delivery.

#### **7.4.2 CRISIS INTERVENTION**

##### **STANDARD (15)**

***“The EAP will offer responsive intervention services for employees, family members and the organization in crisis situations.”***

##### **GOAL**

To respond to emergencies and urgent situations in a timely fashion, consistent with organizational policies.

##### **OBJECTIVES**

- To promote effective coping skills that can lead to positive growth and change by acknowledging the problem;
- To participate in decision-making about organizational policies which affect the company's response to crisis situations.

##### **MOTIVATION**

- In order to maintain its relevance and credibility it is essential that the EAP can respond effectively to crises;
- Timely intervention may lessen or prevent long-term difficulties or dysfunction, both on an individual and an organizational level.

##### **CRITERIA**

- EAP staff should be trained in therapeutic skills;

- Information on crisis services, which are also available after hours, must be provided;

The EAP coordinator/manager should ensure that all sections/departments of the organization are briefed about

- The procedure to be followed in a crisis situation,” EAPA SA (2005:16-17).

Roberts, (1999:223) states that a crisis can be defined as a subjective reaction to a stressful life experience that threatens the individual’s stability and ability to cope or function normally. He also goes on to state that crisis intervention is the process where the clinician enters into the life situation of an individual or a family to alleviate the impact of the crisis and to help mobilize the resources of those detrimentally affected.

The researcher agrees that this standard is crucial in the South African situation because any EAP should be prepared to get involved in emergency situations and able to respond in a constructive manner. Timely intervention can address the problem before it becomes chronic. The researcher also believes that this standard is not followed by public service departments in South Africa. In his interaction with several departments, the researcher has observed that those EAPs that have been outsourced tend to have a better focus on crisis intervention processes than those who are reliant on internal programmes. It is the researcher’s belief that these programmes will eventually evolve to focus more on intervention programmes for crisis situations. The researcher agrees with the guidelines as contained in the Standards document as listed below:

## **GUIDELINES**

- The EAP contracts with a local crisis line to provide after hours coverage;

- The EAP establishes procedures for crisis intervention ;
- The EAP prepares a step-by-step procedure guide identifying actions to be taken in a crisis situation by staff, management, and employee assistance professionals;
- To ensure that EAP clients have access to crisis intervention and other appropriate professional services 24 hours a day, whether or not these form part of the EAP.” EAPA SA (2005:17)

### 7.4.3 ASSESSMENT AND REFERRAL

#### **STANDARD (16)**

***“EAP professionals or an assessment service under contract to the organization, will:***

- ***Conduct an assessment to identify employee and/or family member and/or organizational problems;***
- ***Develop a plan of action, and***
- ***Recommend or refer the individual(s) to an appropriate resource of intervention.”***

#### **GOAL**

To match the individual who has an identified problem with a cost-effective and appropriate level of care.

#### **OBJECTIVES**

- To utilise assessment of identification document to evaluate clients' strengths, difficulties/needs and to determine the groundwork for a plan of action;



- To base referrals on the unique needs of the client, as revealed by the assessment process supported by observation and documentation;
- To act as an advocate on behalf of clients to ensure that they gain access to appropriate levels of care;
- To utilise the services of outside resources when needed, and to make referrals;
- To ensure that problems located within the organization rather than the client are correctly assessed as such, so that clients are not inappropriately labelled as being in need of intervention.

## **MOTIVATION**

- Accurate assessment and appropriate referral should increase the likelihood of increased job performance and employee well-being; Competently conducted assessments and referrals will enhance the
- Credibility of the EAP in the organization.
  - The employee assistance professional must explain to the client the reasons for the referral as well as any costs the client may incur;
  - The EAP professional should focus on the confidential nature of programme participation and clearly outline/emphasise limitations;
  - The progress and outcome of referrals should be followed up by EAP staff;
  - The EAP should clarify referral procedures with outside resources to which clients are referred.

## **GUIDELINES**

- Upon assessing a client who shows possible symptoms of chemical dependency, an employee assistance professional who does not

have specialist training in this field refers the client to an addiction specialist for further evaluation;

- When long-term psychotherapy is indicated, referral to an alternative resource should be considered;
- EAP professionals should not give or receive financial rewards for referring clients to particular therapists/ treatment resources,” EAPA SA (2005:17).

Assessment is a very important fundamental aspect of EAP where referrals for extended treatment are frequently made. It should also be stated that because the solution of a problem flows from its definition, an incorrect or poorly defined assessment may lead to misguided treatment. Yet, EAPs cannot be expected to provide complete treatment centres and it is therefore necessary to ensure that necessary referral mechanisms are in place to link the program with external treatment systems and in so doing provide employees with appropriate and effective services, Googins and Godfrey (1987: 128).

The researcher agrees with the criteria listed below as prescribed in the EAPA SA standards document:

## **CRITERIA**

- Assessments should include:
- the client's statement of the problem,
- the precipitating event/s,
- past history of the problem,
- mental status,
- relevant family history,
- level of risk to self or others,

- effect of problem on job performance,
- corroborating data,
- assessment of alcohol and drug use,
- initial impression, and
- recommendations,” EAPA SA (2005:17).

The researcher believes that the above assessment criterion relates mainly to self-referral cases and is of the opinion that it is important for formal referrals, observations and documentation of incidents by the supervisor to be extended to provide for interventions put in place by the supervisor prior to referral.

#### 7.4.4 SHORT-TERM INTERVENTION

##### **STANDARD (17)**

***“EAP professionals will determine when it may be appropriate to provide short-term intervention services and when to make a referral to community resources.”***

##### **GOAL**

To provide cost-effective and appropriate short-term intervention

##### **OBJECTIVES**

- To ensure that short-term intervention comprises a pre-determined maximum number of sessions;
- To ensure that EAP staff members operate within the scope of their registration and expertise;
- To develop a protocol for distinguishing between cases appropriate for short-term intervention and those for referral to engage ongoing care.

## MOTIVATION

- The nature of the workplace context offers the ideal opportunity for time-limited intervention;
- In accordance with programme policy, there are occasions when it may be more efficient and effective for the EAP professional to provide short-term intervention services as opposed to referring the case to an outside resource;
- Larger numbers of clients can be assisted if the EAP confines itself to short-term intervention services;
- Short-term intervention is rendered more cost-effectively;
- Short-term intervention reduces the potential risk of boundary violations between the professional and the employee.

## CRITERIA

- EAP staff should be well trained in the use of time-sensitive intervention models;
- There should be ongoing professional training in short-term, task-centred and solution-focused approaches;
- A written action plan should be prepared to facilitate the realisation of specific objectives within an appropriate time period. This could include identification and prioritisation of problems that need to be resolved, establishment of immediate and long-term goals, and designation of available resources to be utilised in the process, including those contained within the EAP;
- Organizational policies should support short-term intervention services that are consistent with employee needs;
- Long-term, ongoing treatment is not part of the EAP model, EAPA SA (2005:18).

According to Darick in Taute (2004:15) short-term therapy in the EAP context can be valuable and successful for work-related and personal issues. He goes on to state in the same article that the clinician should, after a thorough diagnostic assessment, decide on two options: continue to see the client for short-term problem resolution meetings or refer the client to an outside resource for long-term assistance.

Taute (2004:15) suggests that short-term therapy can be viewed as therapeutic help in a specified time frame. She also states that the EAP should help the employee in the shortest possible time so that the employee can return to work and be productive as soon as possible. Taute also states in the same article that the EAP should identify appropriate resources necessary to enable the employee to make progress. Taute also states that due to limited time to effect change the employee should be given clear instructions of responsibilities

The following guidelines contained in the EAPA SA Standards document are relevant:

- The EA professional contracts with the employee client for six to eight sessions;
- The EA professional works solution-focused and not problem-focused;
- Constructive confrontation forms part of short term intervention;
- The EA professional utilizes homework to provide the employee client with practice for skills development;
- The EAP professional should make use of consultation to assist him/her in acquiring new skills with regard to short-term intervention,” EAPA SA (2005:18).

The researcher believes that the standard adequately captures the responsibility of the EAP professional in relation to short term therapy.

#### 7.4.5 MONITORING

##### **STANDARD (18)**

***“The process of referral will be reviewed and monitored to ensure progress.”***

##### **GOAL**

To ensure quality treatment from resources

##### **OBJECTIVES**

- To contain costs of treatment;
- To maintain regular contact with the client and service provider during the intervention period to ensure that the goals and objectives of the intervention plan are being met;
- To enable the EAP professional to give appropriate feedback to the referring manager/supervisor about the employee's progress.

##### **MOTIVATION**

- The EAP is in a unique position to monitor and review the progress of referrals and ensure quality and cost-effective treatment;
- Good monitoring will assist in improving the image and credibility of the EAP amongst potential clients and management.

##### **CRITERIA**

- Frequency of contact should be contracted with the employee client and the service provider during the treatment period;
- There should be follow-up meetings with the referring supervisor immediately after assessment and referral, and then once the intervention is complete;
- All monitoring activities should be documented in the client's EAP record for verification and evaluation.

## GUIDELINES

- An EAP staff member would discuss the client's view of progress relative to the intervention plan either telephonically or arranges a formal meeting to do so.
- EAP staff routinely monitors all chemical dependency cases for a minimum of two years;
- An EAP professional contracts with an outside service provider to submit written reports once a month on the progress of an employee." EAPA SA (2005:19)

Googins and Godfrey (1987: 128) state that monitoring may be the most neglected function within EAP. They explain that a well defined mechanism for case monitoring is essential to manage the progress of treatment, work performance, and identify relapse and recidivism.

In the researcher's experience failure to monitor progress or manage the impact of intervention occurs frequently in the South African context. Follow-up procedures where referrals are made are minimal and with external models the EAP tends to rely on the consultant to take responsibility for the follow-up process. The researcher agrees that it is crucial the standard for processing referrals is properly implemented; a poorly implemented model can result in serious gaps in the case management process and can prolong the time it takes to assist the client. Failure to monitor progress also negatively impacts on the interrelated partnerships between the EAP practitioner, the supervisor/union representative and the client and therefore diminishes the effectiveness of the intervention as a whole. This becomes critical when the EAP has to show return on investment to his/her manager as with the implementation of the next standard.

#### 7.4.6 FOLLOW-UP AND AFTERCARE

##### **STANDARD (19)**

***“The EAP will ensure that follow-up and aftercare services are provided to EAP clients, supervisors, union representatives.”***

##### **GOAL**

To ensure the continued well-being of employees, their dependants and organizations

##### **OBJECTIVES**

- To monitor job performance in collaboration with the manager/supervisor following the re-entry of an employee who has undergone treatment;
- To assist the employee with reintegration into the workplace following intervention.

##### **MOTIVATION**

- By providing ongoing aftercare services, the EAP demonstrates a commitment to the well-being of the organization and its employees;
- Documentation of follow-up and aftercare activities assists in evaluating the effectiveness of the EAP service.

##### **CRITERIA**

- The company's EAP policy should describe the programme's follow-up and aftercare procedures and determine what constitutes closure of a case;
- Follow-up should be conducted with the referring manager/supervisor after the employee's re-entry into the workplace to monitor job performance;



- The impressions of the employee, family members, the referring supervisor, union representatives and the service provider should be documented in the EAP records after the employee's re-entry.

## **GUIDELINES**

- An EAP professional establishes a policy of contacting every supervisor six months after a supervisory referral, to inquire about the employee's job performance;
- An EAP follows a policy of contacting every client six months after referral to close the case, if appropriate;
- The company's performance management system should be utilised to track productivity of the individual client – by implication his/her progress/outcome, EAPA SA (2005:19-20).

Lilly (2007: 18) indicates that follow-up services are important and cites several factors that need to be taken into account. They include:

- Stress management
- Conflict resolution
- Media handling
- Cross cultural training
- Team building
- Safety and security
- Personal needs

Darick (1999:11) states that follow-up services are an important aspect of EAP care and may take many forms depending on the type of referral.

The purpose of follow - up services includes the following:

- to ensure that the programme is effective to make sure that the employee is improving,

- to provide feedback to the referring supervisor on compliance and progress.
- to support the gains made during therapy.
- to maintain the therapeutic relationship until the client feels strong enough to take the next treatment step,
- to communicate from the EAP to the work site to inform their decisions about the employee's status at work
- to check if the employee who has been referred to longer term care has in fact been able to access that resource.

The researcher is of the opinion that this standard is inadequate in that it does not emphasise re-integration into the workplace. Although its objective requires the EAP to provide feedback to the supervisor it does not place emphasis on the fact that the client must be reintegrated into the workplace to ensure that he/she returns to optimal productivity. The researcher has also found that supervisors want the employee to continue with his/her work as though he/she has not been subjected to treatment. The researcher has learned that some supervisors do not know how to re-integrate the employee as this was not emphasised or ignored in the supervisory training. This standard forms an essential part of the case management process.

#### 7.4.7 ORGANIZATIONAL CONSULTATION

**STANDARD (20)**

***“EAP professional will consult with the organization when developments and events, such as retrenchments or mergers, impact on employee well-being and fall within the EAP and the EAP professional's area of expertise.”***

## **GOAL**

To assist management to address organizational issues, which may impact on employee well-being.

## **OBJECTIVES**

- To position the EAP in terms of the well-being of employees;
- To be proactive in suggesting strategies an organization might develop to minimise the adverse impact of events, such as change in employee benefits, relocation of the organization or new legislation.

## **MOTIVATION**

To ensure that the EAP functions as an integral part of the organization and offers a valuable perspective as part of the organizational team confronting external and internal developments and changes.

## **CRITERIA**

- EAP Professionals should report and comment on trends identified in service rendering and utilisation.
- Promptly respond to requests for EAP services to address organizational needs.

## **GUIDELINES**

- Management should consult the EAP professional regarding transformations such as retrenchment, restructuring, reorganising, preparation for retirement, life skills and budgeting,” EAPA SA (2005:20).

Blair (2001:36) indicates that to add value to the organization, the EAP should be positioned as a strategic partner to provide management

consultation to help explain human behaviour and find solutions to human resource issues.

Cunningham (1994:169 – 188) elaborates on the positioning of the EAP by explaining the concept of “organizational assistance” as a special responsibility of the EAP towards the organization as a client and an extension of client service. She expands on this by indicating that organizational assistance involves:

- Advocacy in relation to specific client needs – interventions designed to modify the attitudes or behaviours of significant others at the workplace that contribute to an employee’s dysfunction or through mediation when interpersonal problems are an issue.
- Becoming a confidential source of information and guidance for those overwhelmed/perplexed by employee behaviour that they do not understand.
- Addressing work-related problems affecting a particular work group that impact on the overall performance of the work unit
- Critical incident debriefing
- Influencing organizational culture by intervening to bring about change in attitudes and beliefs and to create a climate that is conducive to promote the welfare of both the company and the individual client. This may include informational and educational efforts.
- Use of EAP specialist knowledge, expertise and experience to guide decision-making processes and the implementation of policy, especially those relevant to the health and welfare of employees.

The researcher understands that organizational consultation may be one of the most important standards as it deals with the strategic alignment of the EAP and enshrines the EAP as a strategic business entity within the organisation. It is also the researcher’s belief that this standard ensures

the EAP takes into account the needs of the organisation and therefore becomes “relevant”. This standard also ensures that the EAP is utilised as a management tool to address strategic issues such as retrenchments, downsizing and restructuring.

#### **7.4.8 TRAINING OF MANAGERS, SUPERVISORS AND UNION REPRESENTATIVES**

##### **STANDARD (21)**

***“The EAP will provide training for supervisors, management and union representatives in order to give them an understanding of the EAP.”***

##### **GOAL**

To equip supervisors, management and union representatives with the requisite knowledge and experience to fulfil their functional roles regarding the EAP in terms of access and utilization

##### **OBJECTIVES**

- To enhance the functioning of the EAP within the organization;
- To provide clarity to potential referring supervisors about their role in the assessment of poor performance and the referral process.

##### **MOTIVATION**

Ongoing training will:

- Enhance Supervisors’ ability to make appropriate referrals;
- Ensure support for the EAP amongst union representatives

##### **CRITERIA**

EAP training sessions should be conducted in a structured manner repeated when necessary and cover at least the following aspects:

- The rationale of the EAP:
- The EAP as a management support system

- Programme operation

## GUIDELINES

An EAP professional should train supervisors on:

- Procedures for referring employees experiencing job performance problems;
- The positive impact the EAP may have on the organization,” EAPA SA (2005:20-21).

The researcher believes that the training of managers, supervisors and union representatives standard is vital for the acceptance and success of an EA programme in any organisation as supervisors and labour unions are always interacting with employees. Employees spend more time with their supervisors and union representatives than they do with the EAP and this opportunity to enhance skills and expertise can be utilised for the betterment of the programme. The researcher also realises that if EAPs prioritise this standard on training together with the next standard on marketing, the EAP will achieve the solid foundation it needs. Acceptance, and to an extent, the success of the programme, is dependent on supervisory and labour referrals for assistance. The researcher has had to make several presentations to supervisors, union representatives as well as senior managers from diverse departments and found their willingness to participate in and contribute to EAP processes once they recognize the value employee assistance adds to the organisation.

Supervisory referrals that most supervisors are expected to perform within their work organizations can provide an effective interface with job performance and developmental coaching processes. EAP supervisory training provides clear value to individual managers and the organization by ensuring that managers, supervisors and shop stewards are familiar with, understand the dimensions of, and are prepared to fully engage the

supervisory referral process and the dynamic EAP consultation process, Beidel and Brennan (2006:29-30).

Training is vital for a successful EAP. In order for the EAP to appreciate its objectives within the organization it has to bring about a change in the ways knowledge is perceived and utilized as well as cultivate a positive attitude toward self-motivation to achieve. These attributes are achieved through training. Training is also a powerful tool to facilitate communication and to initiate constructive change. Without training supervisors, personnel administrators and other individuals relevant to the programme would not be familiar with methodologies how best to work with and utilize the EAP. The content of training programmes often includes:

- Information on company policy and procedures,
- An explanation of EAP itself and
- Coaching on identifying, confronting and referring an employee with job performance problems, Googins and Godfrey (1987:126).

#### 7.4.9 MARKETING

##### **STANDARD (22)**

***“EAP professionals will ensure the availability and use of promotional material and educational activities, which encourage the use of the programme by supervisors, managers, union representatives, peers, employees, and family members.”***

##### **GOAL**

To ensure that the EAP is highly visible and presented in a positive light to encourage members of the organization to appropriately utilise the programme.

## **OBJECTIVES**

- To ensure that programme promotion is ongoing and directed at all levels of the organization;
- To market the programme in such a way that all people within the organization are motivated to utilize the EAP;
- To regularly provide employees with relevant information aimed at increasing their awareness of factors that affect their personal well-being and impact on job performance;

## **MOTIVATION**

Appropriate marketing and promotion of the programme will encourage utilisation of its services, which ultimately impacts on the healthy functioning of the organization.

## **CRITERIA**

Marketing should be ongoing, realistic, honest, specific, and consistent, EAPA SA (2005:21).

Googins and Godfrey (1987:126 – 127) state that the EAP should establish methods of calling attention to its services. This should be done in such a way that appropriate use is made of those services. They go on to say that any new intervention must learn to convey its presence, its purposes and its usefulness. They also state that no program can survive without visibility, recognition and repeated exposure. The goals of employee education are based on keeping staff members informed of the purpose and benefits of EAP, criterion to permit involvement and what results they can expect; as well as confidentiality policy to prevent stigmatization.

The researcher believes that programme utilization is often a determinant of EAP success. It is vital to increase visibility and mainstream EAP



services into the core business of the organization. The researcher also recognizes that the announcement of services becomes an integral function of marketing and agrees with EAPA SA guidelines:

- “The EAP should be marketed through employee orientation programmes, company and union bulletin boards, newsletters, employee meetings;
- Marketing should target all levels within the organization;
- EAP posters on topics of interest should be displayed to attract the attention to the employee population;

Electronic media should be considered where appropriate and available,”  
EAPA SA (2005:21).

## 7.5 NETWORKING

### 7.5.1 NETWORKING WITH INTERNAL ORGANIZATIONAL STRUCTURES

#### **STANDARD (23)**

***“The EAP, being an integral part of the organization, should network with the various internal departments.”***

#### **GOAL**

To ensure that the EAP operates at optimal level by being fully integrated with internal organizational structures

#### **OBJECTIVES**

- To identify all relevant role players within the organization;
- To network with such role players to ensure a commitment to the EAP;
- To encourage other departments to recognise the EAP as an integral organizational resource and to utilise the EAP appropriately;

- To seek clarification of EAP boundaries and authority lines within the organization in order to protect EAP neutrality and facilitate teamwork;
- To encourage appropriate referral options to motivate interest in the EAP without revealing confidential information;
- To participate in decision-making about organizational policies and programmes that may impact on the EAP standard, such as strategic planning, design and implementation of wellness programmes.

## **MOTIVATION**

- Close involvement and networking improves EAP visibility and credibility and increases its ability to have an impact;
- Involvement of different role players within the organization will ensure the ongoing viability of the EAP.

## **GUIDELINES**

- The EAP professional should work with healthcare insurance/medical aid staff in decisions involving the structure of mental health/substance abuse benefits and managed care programmes;
- The EAP professional is a resource for the training department and should be regularly invited to present workshops on the EAP, EAPA SA (2005:22).

Googins and Godfrey (1987:125), state as follows: “Linkages to relevant organizational units assures two-way communication as well as functional integration into the culture and operations of the company”. Linkages also assist in contributing to the dynamics of the work community, and it can become a vehicle for both EAP and work groups to better understand one

another and can assist the organization to identify and deal with larger systemic problems in a department or corporate division or in the formulation of company policy.

The researcher has experienced the effect functional integration has on internal models. He believes that these associations are vital especially when developing a solid foundation for EAP service delivery and can also assist by providing resources for EAP service delivery, thus reducing the cost of certain operations. The researcher also agrees with EAPA SA's list of criteria for linkages:

“List of relevant internal organizational activities should be composed, maintained and extended in order to ensure effective networking.

These should be determined by the structures of the organisation but could include the following:

- Unions;
- Human resources/personnel departments;
- Benefits;
- Safety;
- Equal employment opportunity;
- Medical;
- Security;
- Risk management;
- Legal;
- Training;
- Organizational Development;
- Industrial relations;
- Public relations;
- Corporate Social Involvement, EAPA SA (2005:22).

## 7.5.2 NETWORKING WITH EXTERNAL COMMUNITY ORGANIZATIONS AND RESOURCES

### **STANDARD (24)**

*“The EAP, shall identify, utilize and evaluate healthcare delivery systems and community resources, which provide quality assistance at an affordable cost for the organization, employees and their family members.”*

### **GOAL**

To ensure the cost-effective delivery of relevant quality services remain responsive to the needs of the work organization, the employees and their family members..

### **OBJECTIVES**

- To set criteria for identifying, evaluating and selecting external resources.
- To help employees gain access to external treatment resources.
- To network with appropriate healthcare providers and community resources on an ongoing basis.

### **MOTIVATION**

- An effective network of professional resources, healthcare providers and self-help groups, will ensure the delivery of quality services, such as managing an effective referral procedure to facilitate timely response to the needs of work organizations, employees and their family members;
- Close involvement and collaboration improves EAP visibility and increases its ability to have a positive impact on what people think about the service
- Networking with relevant resources in the community will maximise programme effectiveness and decrease potential liabilities;

- Involvement of different role players from the community will ensure the viability and credibility of the EAP.

## **CRITERIA**

- List of relevant external resources should be composed, maintained and extended to ensure effective linkages and affiliation with relevant groups;
- Regular contact between an EAP professional and representatives from different external resources, to identify areas to be addressed to promote co-operation with the EAP and to respond appropriately to recommendations received from community resources;
- A contract with clearly defined responsibilities that identify the affiliation between the EAP and any managed care services;
- Visible assistance made available to employees in order to gain access to external treatment resources;
- Continuous communication with external community organizations and resources relating to services and resources made available to employees.

## **GUIDELINES**

- An EAP manager secures community information and referral directories, names of private professionals, lists of mental health centres and treatment programmes, and information on self-help centres that provide services suited to the needs of EAP clients in the geographic areas served;
- An EAP professional verifies an external service provider's professional credentials (i.e. accreditation and registration with professional bodies);
- EAP staff periodically visit area service providers to gather current information about facilities, available services, staffing and quality management.

- Factors to be considered are: availability, co-ordination with the EAP, accessibility, knowledge of work environments, responsiveness, protection of clients' rights, confidentiality, service delivery procedures, geographic location, professional capability, cost and payment systems, financial relationship to the EAP, references from former clients, EAPA SA (2005:23).

Rozensky and Wiens (2006: 21-23) indicate that many people experience significant stressors, including economic loss, loss of life, and family conflict following natural disasters. These reactions are common to people living and working in all geographical and social environments, while those in rural communities face unique challenges because of their remote location and unique challenges. There are often barriers in soliciting the support of external community organizations and relevant resources, which may include the fact that service providers are in short supply or lack speciality services; another obstacle is that some people need to travel long distances to receive care. There are however family and community social networks that can be accessed. It is important for the EAP to understand the needs of communities and the resources that are available. EAPs should also be able to identify alternative sources of assistance. Local resources include indigenous helpers, religious groups, organisations and schools.

Googins and Godfrey (1987:128) state that EAP staff need to familiarise themselves with community resources. They need to understand their strengths and weaknesses, their eligibility criteria, waiting lists, fee structures and also explore the establishment of working relationships with these resources to educate agencies about the realities of the workplace, the nature of work-based programmes, the involvement of treatment-management issues and needs of EAP staff to facilitate effective treatment.

In the researcher's experience, external linkages are crucial to filling EAP service delivery gaps. It is imperative to focus on service delivery as this is a cornerstone of the profession. The EAP cannot be an expert in all the areas and should always be able to refer cases to external resources, especially programmes where specific expertise and capacity is limited.

### 7.5.3 NETWORKING WITH PROFESSIONAL ORGANIZATIONS

#### **STANDARD (25)**

***“EAP professionals shall maintain and upgrade their knowledge by belonging to an organization specifically designed for EAP professionals, attending training and/or professional development programmes and maintaining regular ongoing contact with other EAP professionals.”***

#### **GOAL**

To enhance the knowledge, skills and approach of EAP professionals to ensure that they are aware of new developments and technologies in EAP service delivery.

#### **OBJECTIVES**

- To ensure that EAP professionals are aware of new developments and technologies in EAP service delivery;
- To attend ongoing training and/or professional development programmes;
- To maintain regular ongoing contact with other EAP professionals.

#### **MOTIVATION**

Belonging to an organization geared for employee development programmes provides EAP professionals with support and collegiality, which contributes to professional development and the prevention of professional burnout.

## GUIDELINES

- Make oneself available to become a committee member of EAPA or substructures;
- Delivery of professional papers at chapter and other relevant meetings;
- Presentation of training courses to EAP functionaries;
- Participation in the development of professional material, EAPA SA (2005:24).

According to EAPA SA (2005:24), the criterion for this standard includes:

- “Membership of EAPA;
- Regular attendance of EAP related professional conferences or training programmes;
- Active participation in EAP related professional organizations;
- Share information about new developments and technologies with others in the field, taking appropriate credit for original contributions and adhering to copyright guidelines for acknowledging the work of others;
- Become involved in professional organizations for personnel working in the EAP related fields of human resources, risk management, training and organizational development, benefits and occupational health and safety.”

The researcher is of the opinion that although Employee Assistance professionals are from different specialist fields, the issues or problems relating to EAP are similar. Professional organizations such as EAPA SA and the Social Work Council provide a forum for such issues to be shared and debated as well as provide guidelines such as ongoing training



through workshops for the sustained development of professionals and practitioners.

#### **7.5.4 NETWORKING WITH EXTERNAL AGENCIES**

##### **STANDARD (26)**

***“EAP professionals shall be informed and encouraged to network with external bodies which impact on EAP activities.”***

##### **GOAL**

To ensure appropriate application of knowledge pertaining to regulations, legislation and emerging issues and their implications for the EAP field.

##### **OBJECTIVES**

- To identify all relevant external agencies that impact on EAP activities;
- To ensure EAP professionals are informed and constantly made aware of the responsibilities of such role players;
- To liaise with such role players to ensure commitment to the EAP.

##### **MOTIVATION**

EAP professionals are at liberty to take a proactive stance when core EAP activities and employees' rights are challenged and possibly at risk due to the actions of external bodies.

##### **CRITERIA**

- Identification of external agencies whose policies have a direct impact on EAP activities in order to ensure effective linkages;
- Regular contact between an EAP professional and representatives from different external agencies to identify areas that need to be

addressed in order to enhance the EAP and respond appropriately to comments and recommendations;

- Provision of guidance to relevant individuals in the work organization regarding compliance with the policies and procedures of the organization and of the EAP;
- Consult with external agencies in areas related to EAP practices;
- Such external bodies include regulatory, legislative, advocacy, financial, business and academic. .

## **GUIDELINES**

An EAP staff member is responsible for gathering copies of regulations, laws and rulings in areas relevant to EAP practice, such as confidentiality of records, drug testing, worker's compensation and vocational rehabilitation, EAPA SA (2005:24-25).

Wingate (2006:10) states that EAPs could play an important role in minimising the impact of employees with eating disorders in the workplace. The extent of the loss in revenue suffered by an organisation can be determined in direct correspondence to reduced levels of productivity due to anxiety, depression and substance abuse arising from the eating disorder. While choices for treatment should include specialist intervention it is vital for the EAP to also have a network of alternative service providers. Wingate also states that the EAP must acquire a broad knowledge of available resources within the community to facilitate the employee's recovery and return to work.

EAPA SA (2005:25) explains that such external bodies would include:

- Regulatory,
- Legislative,
- Advocacy,

- Financial,
- Business and
- Academic bodies.

This standard aims to ensure appropriate application of knowledge of regulations, legislation and emerging issues and their implications for the field. Issues such as confidentiality, drug testing, medical testing, worker's compensation and vocational rehabilitation are relevant to EAP Practice and practitioners have to operate within specified frameworks.

The researcher agrees with the description and outline of the standard for Networking with External Agencies and believes that it is covered adequately in the EAPASA document.

## 7.6 EVALUATION

### **STANDARD (27)**

***“EAP professionals evaluate the appropriateness, cost-effectiveness and efficiency of EAP operational activities.”***

### **GOAL**

To ensure a cost-effective and relevant service to employers and employees and their dependants

### **OBJECTIVES**

- To identify measurements for both process-and-outcome and impact evaluation;
- To identify all role-players who may contribute to the evaluation process;
- To actively involve all role-players in the evaluation process;
- To identify different types of data to be collected for programme evaluation, such as design effectiveness, implementation,

management and administration, union representative involvement, completeness of the programme, direct services (i.e. counselling, marketing, training) and networking.

## **MOTIVATION**

Measurable objectives allow the organization to judge the programme's progress and usefulness and identify the need for programme modifications.

## **GUIDELINES**

- Evaluation plan to include specifics on surveys and interviews about services rendered;
- Detail on surveys to determine awareness level of the programme;
- Detail on measurement methodology to evaluate the impact of training courses;
- Evaluation activities should be on-going;
- Consider the utilisation of an external evaluator/consultant in order to maximise objectivity of evaluation procedures, EAPA SA (2005:25).

The evaluation of any EA programme should also take into account the ten types of evaluative studies: Yamatani (1993:65-81)

- Service needs assessment – establish the potential number of employees that may need EAP services. This area has been covered in the needs assessment as indicated in chapter 3, pages 137 – 147.
- Compliance or legality assessment – determine whether EA programmes comply with legal rules and regulations. This aspect is covered extensively in chapter 2, pages 64 – 76.
- Program adequacy – examine the appropriateness of EAP service availability, usage and utilisation rates. The needs analysis

conducted in the DCS (pages 137 – 147) adequately relate to programme adequacy.

- External resources – an examination of outside agencies used including the extent and satisfaction. This method of evaluation was also covered in the needs analysis and the different models were presented. DCS employees chose the internal model.
- Program effort – the need to assess the processes in the implementation of the programme. This method was not covered in this thesis. However an implementation strategy was included in the implementation report on the establishment of the EAP in DCS (pages 156 – 159)
- Program effectiveness – an assessment of the extent of change related to interventions. This aspect was not covered extensively in this thesis. However the researcher does make mention of statistics received from EA practitioners where the effectiveness of the programme as well as interventions was measured (page 100).
- Program benefit equity – an assessment of the equitable distribution of services to different population groups. This aspect was not covered in this thesis, as differentiation of services according to population group is no issue in the DCS. All employees have equal rights to all services.
- Client satisfaction - obtaining opinions of clients about services delivered. This area was not covered in this thesis. Determination of client satisfaction was not seen as part of the goal of the study. The importance of client satisfaction is however seen as important, but to be covered in another study.
- Cost/benefit – assessment of programme implementation costs versus benefits generated. This area was not covered in this thesis, as this was not the focus of the study.
- Program constraint analysis – identification of sources of programme limitation. This area was discussed when the

organizational profile and needs; which included employee needs, supervisors and union representatives' needs and healthcare profiles and needs; was mentioned on page 100.

Sithole (2009:365) states that one of the only ways to determine whether an EAP programme is reaching its objectives is to include specific evaluation plans to monitor the programme which will assist in improving the programme.

According to Emener, Hutchison and Richard (2003:303-305) programme evaluation data must be analysed for the purpose of programme modification. They go on to say that evaluation information can provide concrete evidence of the benefits of input by personnel. Programme evaluation can also assist a professional EAP in evaluating and possibly modifying their professional services. This aspect is crucial and must be taken into consideration when identifying clients' EAP requirements. The authors also state that programme evaluation is important for future services because:

- EAPs can develop specialised client centered services
- EAPs can offer a widening variety of services utilising specialised professionals to add value to programmes
- Multifaceted programmes, while able to support diverse solutions, depend on constant monitoring and evaluation

Googins and Godfrey (1987:129) also focus on evaluation mechanisms. They state that evaluation varies from simple counting of cases to highly sophisticated research to determine program effectiveness. They go on to state that only recently EAPs have attended to the need and usefulness of evaluation both within the company and in the external environment. The essential need for evaluation has encouraged better recordkeeping systems and the recruitment of researchers and program evaluators to

assist the EAP. Googins and Godfrey also state that the presence of a program evaluation mechanism adds to program credibility. It also provides information that can be used to improve service in general.

The researcher recognizes the importance of the EAP in terms of adding value to the work organization, which is evident when management acquires feedback that substantiates the return on investment. The researcher also agrees with the EAPA SA criteria for the evaluation of the appropriateness, cost-effectiveness and efficiency of EAP operational activities for this standard:

- “A written evaluation plan, directly related to the programme's goals and objectives should be included in the programme design;
- Regular evaluation to determine if goals and objectives are being met;
- Gathered quantitative data on each client for evaluation;
- Gathered qualitative data on each client for evaluation;
- Feedback mechanisms into the evaluation and design of programme;
- Report on results of the ongoing evaluation;
- Objectives should be specific;
- Objectives should be measurable;
- Objectives should be attainable;
- Objectives should be realistic;
- Objectives should be time-bound,” EAPA SA (2005:25).

## **8. CONCLUSION**

The researcher is of the opinion that the Standards document is very well crafted and lays out in detail the crucial elements of an EAP. The researcher also maintains that the standards assist EAPs in their focus on

dealing with the troubled employee to ensure that productivity is not compromised. The EAP Standards also assist the EAPs to position themselves within an organisation to improve the functioning of the workplace. The standard also assists the EAP to ensure quality EAP services are provided, continuous quality improvement, and monitoring and evaluation of services. The researcher also believes that the Standards are limited in that they do not focus enough on the proactive prevention of problems that hamper productivity. Oher (1999:161) indicates that performance measures for benchmarking EAPs can be selected against the following criteria:

- Tracking core activities of EAP work
- Calculating the impact
- Deriving information from process data that is readily available
- Standardisation
- Applicability to a wide variety of programmes

The researcher believes that the Standards can also serve the above purposes as well as assist the EAP in managing issues according to prescribed guidelines.



## CHAPTER 5

### EMPIRICAL STUDY ON THE NATURE AND FORMAT OF EAP STANDARDS WITHIN THE DEPARTMENT OF CORRECTIONAL SERVICES

#### 1. INTRODUCTION

The 27 standards contained in the EAPA SA document were based on the EAPA International Standards and the standards covered in this study, represent not only the national agreed level of professional best practice for EAP practitioners but also the basic principles and key elements that EA programmes should contain. As indicated in Chapter four, the word “**standard**” is defined in the Oxford English Dictionary as the “**level of quality or attainment**” and also as the “**something used as a measure, norm, or model in comparative evaluations**”. It is with this in mind that the research was undertaken and the standards presented to all Heads of Correctional Centres to evaluate. The EAPA SA standards were used as a norm to draw a comparison between what was happening in the DCS and the EAPA SA standards document, which provides a very good framework of best practice for implementing an EAP in any setting.

However, the analysis of the results should be viewed in the context of what is happening in the Department of Correctional Services as well as

the Public Service in South Africa. The issue of Employee Health and Wellness, relative to whether our country is capable of achieving its vision to attain 'a better life for all' was emphasized at the 2004/2005 Senior Management Service conference by several Governmental Ministers. In 2007/8 this question was also the focus of attention of the Minister of Public Service, which resulted in a conference convened by the DPSA on Employee Health and Wellness. The decision to stage the conference was realized following several meetings, presentations and discussions between the DCS and the Department of Public Services and Administration (DPSA). Correctional Services has been a leader in the field of the EAP and is one of the first departments to have implemented an internal EAP. The DCS has taken Employee Health and Wellness to another level by integrating components such as HIV/Aids, EAP, Organisational Culture and Occupational Health and Safety under one Directorate. This amalgamation was first presented at the Public Service HIV/Aids Indaba 2 in 2000 as well as at the Employee Health and Wellness Indaba, and adopted as a model for the Public Service. The DCS is also one of the first departments in Public Service to have in place an Employee Health and Wellness strategy. It is an initiative that has been lauded by the participants in the Employee Health and Wellness Conference and has been adopted as a possible model for an integrated National Employee Health and Wellness strategy for the Public Service.

In as much as the DCS is seen as a leader in the Employee Health and Wellness field, progress is slow. Several Public Service departments that were lagging behind the DCS have now overtaken the DCS. Employee Assistance practitioners employed by the DCS have been leaders in the Public Service field making them prime targets for departments implementing the EAP strategy for the first time. To date 18 EAP practitioners have resigned for more lucrative offers in the Public Service. These resignations have seriously hampered service delivery on EA

programmes and may have contributed to the large number of non-responses to the standards questionnaire.

There are several issues that need to be addressed if the DCS is to maintain its leadership role in the Employee Health and Wellness field. Management needs to resort to radical means to assess and reinforce positive change. If the DCS wants to be “one of the best in the world” then Corporate Services needs to focus on the single best predictor of overall excellence: *the ability to attract, motivate and retain talented people*. Creating a dynamic business philosophy of continual improvement, particularly in terms of developing human resources, is a step toward being regarded ‘one of the best in the world’. The recommendations contained in this thesis are therefore linked to the DCS Employee Health and Wellness Strategy.

## **2. PILOT QUESTIONNAIRE**

### **2.1 Pilot Questionnaire Analysis**

#### **2.1.1 Pilot questionnaire summary**

Walliman (2005:282) indicates that it is necessary to pre-test a questionnaire on a small number of people, so as to anticipate any problems of comprehension or other sources of confusion. The respondents were contacted in advance of submitting the questionnaire by the researcher to confirm their understanding of and ability to answer the questions. The interviewees were also able to understand what was expected from them and were not pressurised in any way to complete the questionnaire.

#### **2.1.2 Pilot questionnaire conclusions**

De Vos (2005: 205) indicates that a pilot study can be used to ensure that procedures are suitable, valid, reliable, effective, and free from problems

and errors, and that it serves as a precautionary measurement to alleviate problems that may arise from the study. The researcher has concluded that the pilot questionnaire adequately addressed the issues raised by De Vos.

### **2.1.3 Pilot questionnaire recommendations**

The researcher applied the pilot questionnaire to the main study, as no modification needed to be introduced, based on the feedback by respondents.

## **3. STANDARDS QUESTIONNAIRE**

The following is an analysis of the standards questionnaire. There were 230 Heads of Correctional Centre positions in the DCS, and all were included in the study. However, only 198 positions were filled when the questionnaire was administered. Some of the respondents consisted of employees acting in the HCC positions. Hundred and thirty-eight (138) HCC's responded by filling in the questionnaires and submitting them to the researcher, indicating a response rate of 69.69%.

### **3.1 Demarcation of DCS**

The Department of Correctional Services is demarcated into six regions and not nine provinces. They include:

- Eastern Cape (EC)
- Free State and Northern Cape (FNC)
- Gauteng (G)
- KwaZulu Natal (KZN)
- Limpopo, Mpumalanga and North West (LMN)
- Western Cape (WC)

The following table represents the number of employees per region, the number of EAP Practitioners, the vacancies as well as the ratio of EAP

practitioner per employee as on 1 January 2008 in the Department of Correctional Services. It is evident from the table below that the DCS is severely understaffed and that this situation may have had a bearing on the response rate of the survey.

### 3.2 Responses per region

**Table: 5.1 Regional responses to questionnaire including number of EAP practitioners per region**

REGION	EMPLOYEES	NUMBER OF EAP PRACTITIONERS	HEADS OF CORRECTIONAL CENTRE POSTS (HCC)	NO AND % OF RESPONSES	% RESPONSES PER REGION
Eastern Cape (EC)	5617	1	44	39 (28.3%)	88.6
Free State/ Northern Cape (FNC)	5376	4	47	32 (23.2%)	68.1
Gauteng (G)	8713	4	26	25 (18.1%)	96.2
KwaZulu Natal (KZN)	6820	3	40	19 (13.9%)	47.5
Limpopo, Mpumalanga, North West (LMN)	5767	0	32	13 (9.4%)	40.6
Western Cape (WC)	7475	6	41	8 (5.8%)	19.5
Missing information				2 (1.4%)	
<b>TOTAL</b>	<b>39768</b>	<b>18</b>	<b>230</b>	<b>138</b>	

#### 3.2.1 Discussion of data:

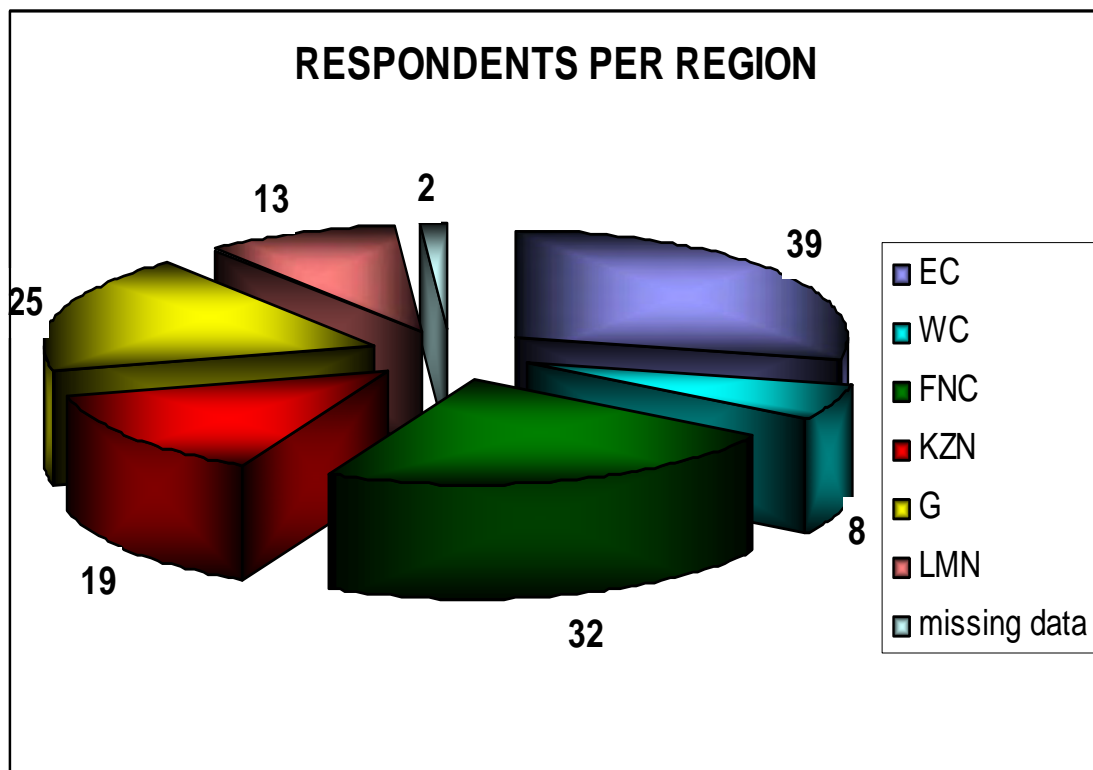
The response rate from the Gauteng Region was the highest with 25 of the 26 HCCs responding to the questionnaire. In the Western Cape the response rate was the lowest with only 8 out of the 41 HCCs responding. The researcher is of the opinion that there should have been more responses from the WC as this region had the most EAP practitioners. The researcher followed up to ascertain the reason for the poor response and was informed that the Head Corporate Services, who should have managed the process, had been transferred to Head Office. The responses from KwaZulu Natal and Limpopo, Mpumalanga and the North West (LMN) were over 40%. The above table also reveals some startling information in relation to the number of EAP practitioners in each Region. Eastern Cape has only one EAP serving 5617 employees. LMN has no EAP for its 5767 employees. The ratio of EAP practitioners to employees in the Free State and Northern Cape is 1:1344; in Gauteng – 1: 2178; in KwaZulu Natal – 1: 2273; and in the Western Cape – 1: 1245. These ratios pose serious questions regarding the availability of the EAP as well as the work load of these EAP practitioners. Regions are also vast and Management Areas are far apart. This means that considerable time would be wasted in travelling to remote areas.

While the response rates from the Regions have been good; the number of EAP practitioners in the management areas will definitely have an impact on the quality of responses received as it is clear that there are insufficient EAP practitioners in the DCS. The researcher has included information on the EAP practitioners as well as the staff compliment to present the conditions that exist in the management areas where the HCCs are based. The questions that arise are: if there are no EAP practitioners in most of the management areas, how did the HCCs manage to complete the questionnaires and did the respondent's have sufficient information and relevant knowledge to answer the questions accurately. These questions resulted in missing variables in many of the

questionnaires. A qualitative analysis of each response, which is provided in this chapter, reveals that many of the questions were left unanswered by the HCCs. This can be attributed to the fact that no EAP practitioners are employed within most management areas. This fact is corroborated by the qualitative analysis in this chapter where several HCCs indicate that they do not have in their employ EAP practitioners in the management areas.

### 3.3 HCC responses per region

Figure 5.1 Head correctional centre (HCC) responses per Region



n-138

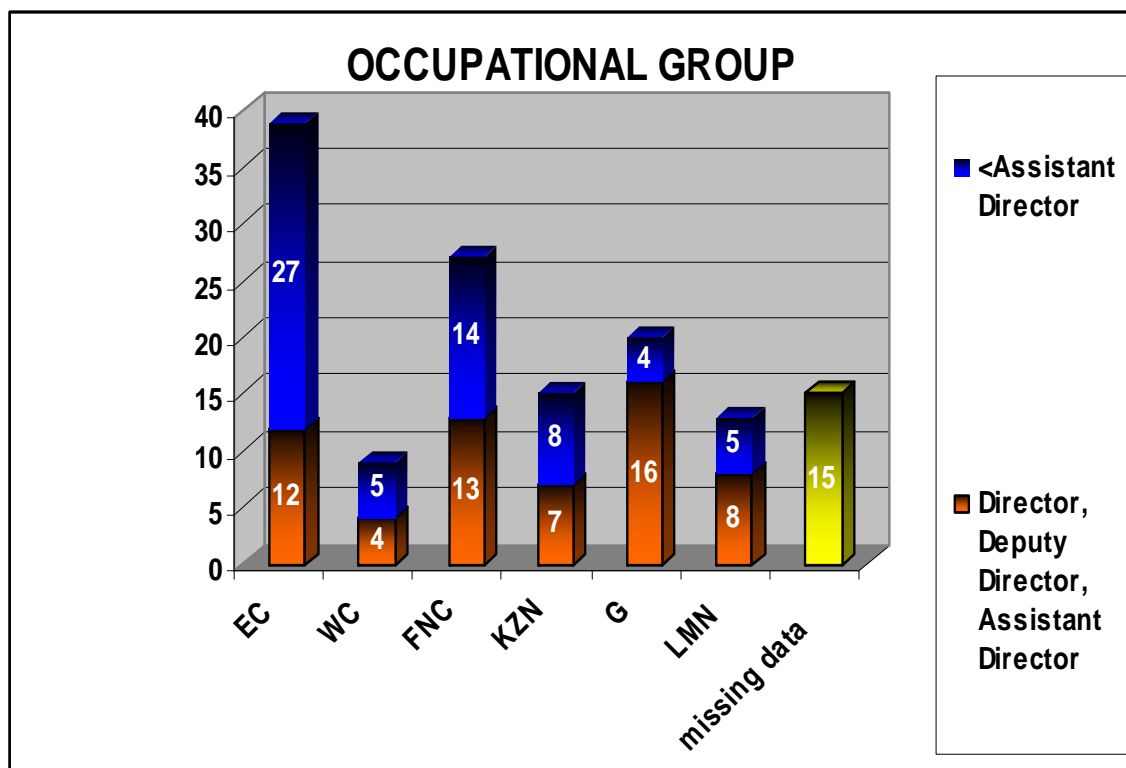
#### 3.3.1 Discussion of data:

The greatest number of responses was received from Gauteng (96.2%) and the fewest responses were received from the Western Cape (19.5%).

The Regional Heads Corporate Services in each Region were requested to manage the process of data collection in each Region. In the Western Cape the researcher experienced difficulty in receiving the completed responses as the Regional Head Corporate Services was transferred to Head Office. This could have contributed to the poor response rate from the Western Cape. Western Cape also has the most EAP practitioners (6) as compared to the other Regions. At the time of conducting the research not all HCC posts were filled and there were also several employees acting in these positions. This could also have had an impact on the responses received.

### 3.4. Occupational groups

Figure 5.2 Occupational groups of HCCs per region



n-138

#### 3.4.1 Discussion of data:

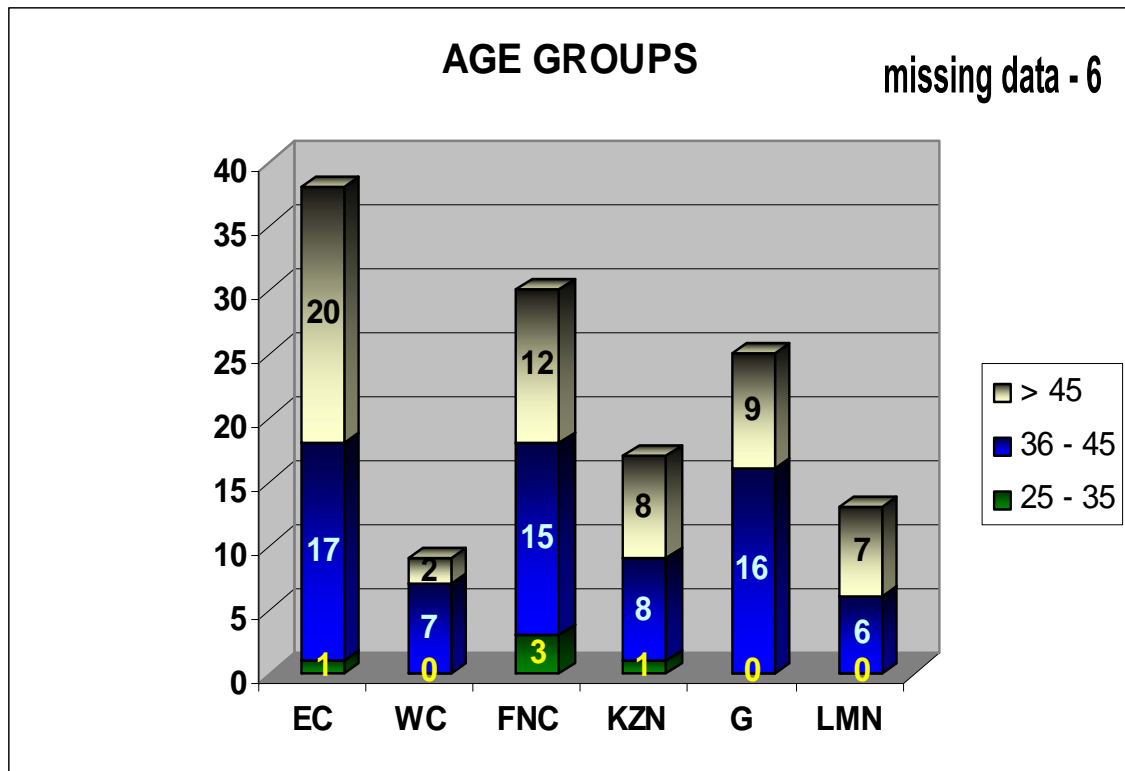
From the graph above it is evident that the respondents are almost equally divided between the two occupational groups (Deputy Director - DD and Assistant Director - ASD). There are however more HCCs below the level



of Assistant Director in the Eastern Cape and KwaZulu Natal. Heads of Correctional Centre positions are management positions yet many of the HCCs are on a level below Assistant Director. Although the size of the centre is a factor in determining the occupational status of the HCC, the researcher is of the opinion that these levels should be revised as the HCC is a very important position in the DCS. More HCCs in the EC (26/39) and KZN (12/19) are below the level of ASD. The occupational level could be a factor in the quality of responses received from the regions.

### 3.5 Age group

Figure 5.3 Age group of respondents



n-138

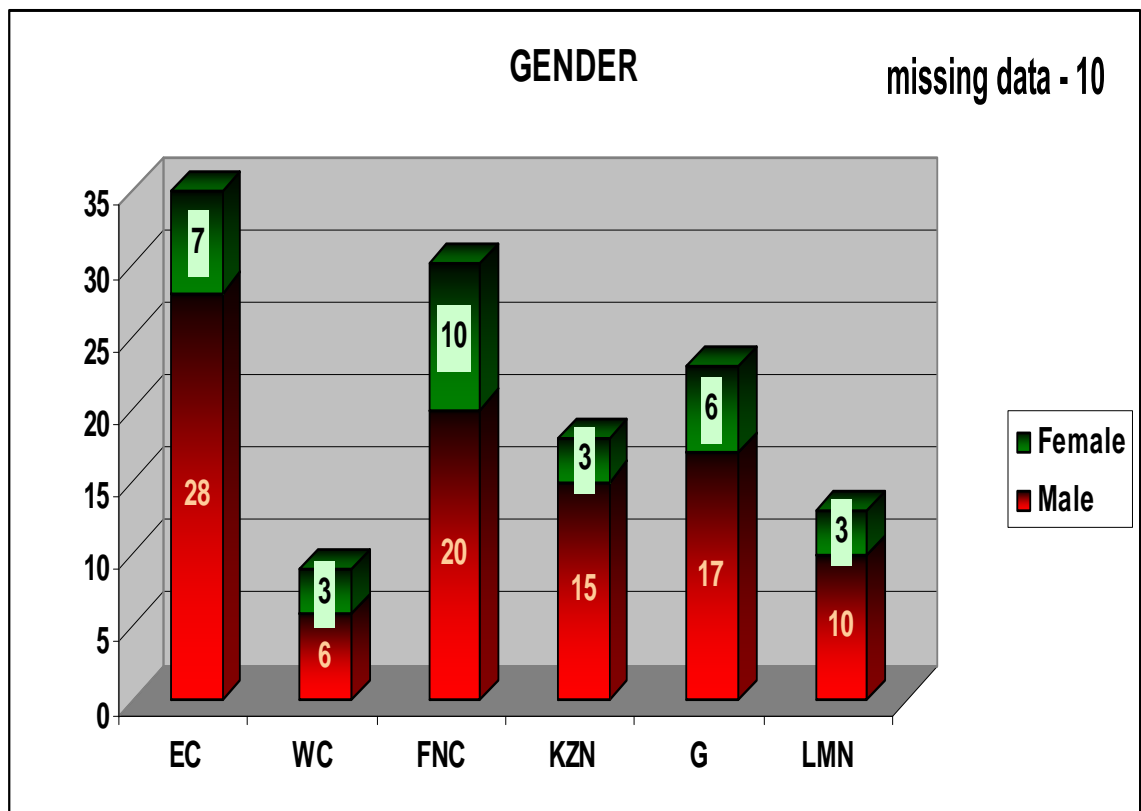
#### 3.5.1 Discussion of data:

Fifty per cent (50%) of respondents fall in the age group 36-45. Fifty-eight (58) of the respondents are older than 45 years and only five of the respondents are between the ages of 25-35. The age groupings might be

indicative of a level of maturity among the respondents relative to the answers provided in the questionnaire. The survey revealed that a large number of respondents were older than 45 years, which implies that they may have been better able to understand the conditions under which their subordinates work. Albeit, this study did not focus on the correlation between age and the ability to answer the questions posed in the questionnaire. It would nonetheless have been interesting to learn which age groups were more in touch with the need for the EAP in their management areas. The types of problems experienced by the different age groups will have an impact on the type of services required from the EAP.

### 3.6 Gender distribution per region

Figure 5.4 Gender of respondents



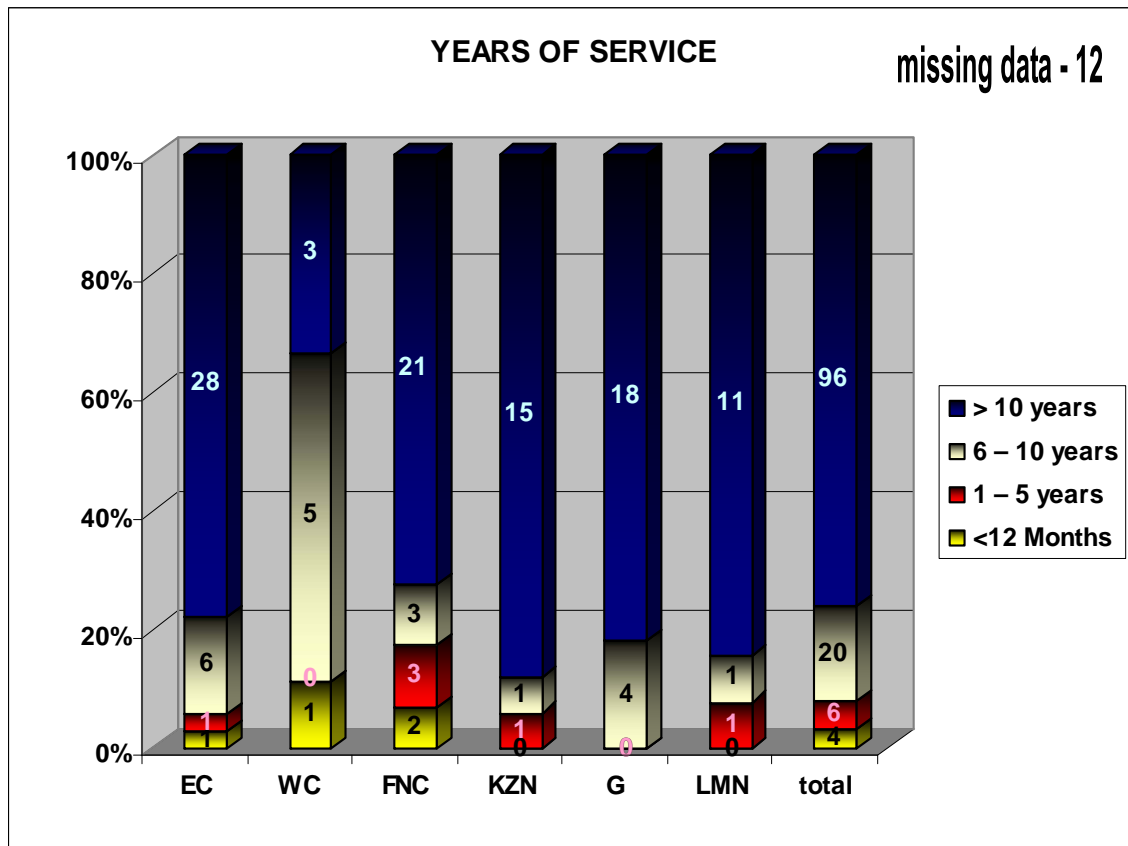
n-138

### 3.6.1 Discussion of data:

It is evident from the statistics that the majority of HCCs in all Regions are male, despite the DCS having gender equity targets and an employment equity plan. Many of the respondents (10) did not indicate their gender on the questionnaire. It is believed that female HCCs may be more sensitive to the needs of employees and probably would be more supportive of EAP intervention programmes.

### 3.7 Years of service

Figure 5.5 Years of service



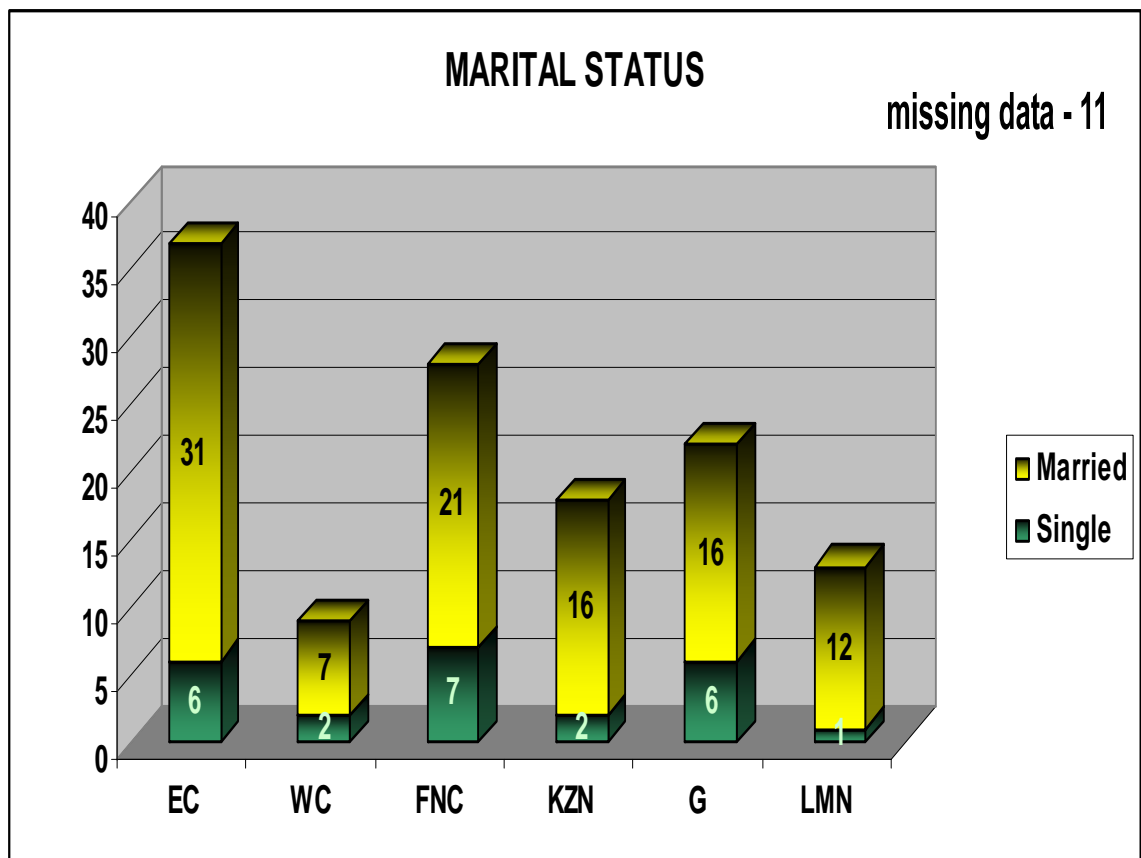
n-138

### 3.7.1 Discussion of data:

All the HCCs in Gauteng have more than six years of service compared to those in the Western Cape who have more HCCs with a service record of six to ten years. The vast majority of respondents have more than 10 years of service (96) which means that they were already on the DCS payroll when the EAP was introduced in the late 1990's. The duration of their service would also indicate that they were exposed to supervisory training carried out for all managers. In addition, the survey also revealed that these HCCs have also been in the DCS when it was demilitarised and would therefore be aware of the conditions pre and post demilitarisation. It is also expected that these interviewees would understand the role of the EAP in the organisation.

### 3.8 Marital status

Figure 5.6 Marital status



n-138

### 3.8.1 Discussion of data:

Hundred and three (74.6%) of the respondents are married while twenty four (17.4%) indicated single or unmarried status. Eight (8) per cent did not respond to this question. Eleven of the respondents did not complete the data requirements on marital status. Most of the respondents are married which would indicate that they may understand the need for EAP assistance with employee and family problems. Paul and Masi (2002: 13) indicate that modern services can be evaluated by addressing individual services and needs.

## 4. RESPONSES PER STANDARD

The sequential format to be adhered to as outlined in the next chapter is as follows: the standard itself will be quoted as from the EAPA-SA Standards document, followed by the question from the questionnaire, followed by a table with details on the responses itself, followed by the actual discussion and interpretation of data.

### 4.1 Key to responses

Although the following information may not have a direct impact on the actual presentation and resulting interpretation of data, the information is shared in order to provide a complete overview to the reader on the raw data format. The statisticians allocated the following codes for calculation purposes.

**Table 5.2 Key**

<b>LETTER / SYMBOL</b>	<b>MEANING</b>
<b>V</b>	<b>Variable</b>
<b>N</b>	<b>Number of responses</b>
<b>0</b>	<b>Response – NO to question</b>

1	Response – YES to question
.	No response to question – answer left blank / missing data

#### 4.2. STANDARD 1: Advisory Committee

##### **STANDARD (1)**

*“There should be an Advisory Committee at the highest possible level within the organization involving representatives of all segments of the workforce.”*

##### 4.2.1 Question 1

**1. Does your management area have an EAP advisory committee at the highest possible level? VARIABLE 7 – (V7)**

**Table 5.3 Advisory committee**

V7	Frequency	Percent
No (0)	121	87.7
Yes (1)	17	12.3
n = 138		
<b>(V) =Variable; (0) = No; (1) = Yes; (.) = No response</b>		

##### 4.2.1.1 Discussion of data

The vast majority of respondents – one hundred and twenty one (87.7%) - indicated that no high level EAP advisory committees were in place in their areas. Only seventeen (12.3%) of the DCS management areas

answered the question in the affirmative that their management area has an EAP advisory committee. The role of the advisory committee is to ensure that all relevant role players in the organization contribute to the effective design and operation of the EAP. The responses above indicate that the different role players will not be in a position to make a meaningful contribution to the EAP if an operational advisory committee is absent. The researcher is of the opinion that this standard to establish an advisory committee within each management area will also ensure participation and ownership from relevant components and that they will be more supportive of EAP intervention programmes. In the review of DCS documentation the Jali/Barlow report was presented indicating a strong need for the different role players (top management, employees, supervisors and union members) to work together to address employee problems.

The researcher however needs to indicate that the wording ‘at the highest possible level’ attached to the question “Does your management area have an EAP advisory committee at the highest possible level?” may have had an influence on the responses. The implication might be that respondents might have access to an advisory committee, but not necessarily ‘at the highest possible level’. No accompanying notes were provided to explain if an advisory committee was in place, but not necessarily on the highest level.

#### **4.2.2 Question 1.1**

**1.1 If your answer to the previous question is yes; then answer the following three questions. If not, move to question 3.**

**1.1.1 Did your EAP advisory committee assist in the formulation of the EAP policy and strategy? (V8)**

**1.1.2 Does/did the advisory committee advise on the implementation procedure of the EAP? (V9)**

**1.1.3 Does the EAP advisory committee contribute to the development of an evaluation procedure? (V10)**

**Table 5.4 Functions of the advisory committee**

<b>V8, V9, V10</b>	<b>Frequency</b>	<b>Percent</b>
...	86	62.3
..0	3	2.2
.00	1	0.7
000	35	25.4
1..	1	0.7
110	2	1.5
111	10	7.3
N = 138		
<b>(V) =Variable; (0) = No; (1) = Yes; (.) = No response</b>		

#### **4.2.2.1 Discussion of data**

The majority of respondents (62.3%) did not respond to question 1.1.1 to 1.1.3. A quarter (25.4%) of the interviewees indicated that the advisory committee is not involved in formulating policies and procedures. Only



7.3% of the respondents indicated that the advisory committee is very involved in all issues of policy-making and procedures. The respondents did not seem to understand this question as they answered this question despite having answered “no” to the previous question. As indicated in the chapter on the EAP standards, Googins and Godfrey (1987: 164 -165) state that the EAP should develop a relationship with a variety of stakeholders; these include labour unions, management, personnel, labour relations personnel, medical personnel and others to enable the committee to mobilize the necessary support for the EAP. The aim of generating support for EAP acceptance is to persuade relevant parties throughout the corporation or union of its core values to assist employees and the organization. Achieving this objective is crucial especially in South Africa where the EAP is a relatively new phenomenon.

According to the vast majority of respondents (62.3 + 25.4) the advisory committee is not involved in decision-making processes to formulate policies and procedures.

#### **4.2.3 Question 1.2**



<b>1.2 The advisory committee in my management area consists of members, representing the following:</b>
♦ Senior management; (V11)
♦ Human resources; (V12)
♦ Medical management areas; (V13)
♦ Occupational Health and Safety; (V14)
♦ Finance management area; (V15)
♦ Training and development; (V16)
♦ Safety and loss control; (V17)
♦ Union / employee/worker representatives; (V18)
♦ Line management; (V19)
♦ Employee relations specialists; and (V20)
♦ EAP professional / professionals (V21)

**Table 5.5 Composition of the advisory committee**

<b>V11, V12, V13, V14, V15, V16, V17, V18, V19, V20, V21</b>	<b>Frequency</b>	<b>Percent</b>



.....	85	61.6
.....111	1	0.7
.....11.1	1	0.7
.....1100	1	0.7
.....1111	1	0.7
00000.....	1	0.7
0000000....	2	1.5
000000000..	1	0.7
0000000000	26	18.8
00000000001	2	1.5
00000001000	1	0.7
00010010011	1	0.7
00011001011	1	0.7
10111111101	4	2.9
11000000001	1	0.7
11000000011	1	0.7
11111111..11	1	0.7
11111111000	1	0.7
11111111001	1	0.7
11111111111	5	3.6
n-138		
<b>(V) =Variable; (0) = No; (1) = Yes; (.) = No response</b>		

#### 4.2.3.1 Discussion of data

Only five (3.6%) of the respondents indicated that their advisory committees are fully representative. A small number (9.4%) of respondents indicated that their advisory committees include some of the role players indicated in the questionnaire. Almost one-fifth – twenty six

respondents (18.8%) -- indicated that none of the indicated role players serve on their advisory committees. Almost two-thirds, eighty five respondents (61.6%) of Heads of Correctional Centres failed to respond to this question. The response to this question is consistent with the response to question One (1) where the majority of respondents indicated that the main role players do not form part of their advisory committees. Lack of involvement by an advisory committee would mean that issues such as the formulation of policy statements and strategic plans, advice on implementation procedures, assistance with marketing and promoting the EAP and evaluation processes would not receive the attention they deserve.

#### 4.3 Standard 2

##### **STANDARD (2)**

***“Programme design shall be based on an assessment of organizational and employee needs as they relate to EAP utilization. The background information and organizational data to be factored into the programme design will include at least:***

- ***Organizational profile and needs;***
- ***Employee needs;***
- ***Supervisors and union representatives’ needs; and***
- ***Health care profiles and needs.***

##### 4.3.1 Question 2

**2. Programme design in my management area has been based on an assessment of my management area and employee needs. (V22)**

<b>2.1 Our needs assessment focused on the following:</b>
♦ Organizational profile and needs (V23)
♦ Employee needs (V24)
♦ Supervisors and union representatives' needs (V25)
♦ Health care profiles and needs (V26)

#### 4.3.1.1 Findings

**Table 5.6 Programme design**

V23, V24, V25, V26	Frequency	Percent
....	83	60.1
.1..	3	2.2
.1.1	1	0.7
.111	1	0.7
0...	1	0.7
000.	1	0.7
0000	27	19.6
0100	3	2.2
011.	1	0.7
0110	1	0.7
0111	1	0.7
11..	2	1.5
1111	13	9.4
n-138		
<b>(V) =Variable; (0) = No; (1) = Yes; (.) = No response</b>		

#### 4.3.1.2 Discussion of data

Almost two-thirds (60.1) of respondents failed to respond to question 2.1. One-fifth (19.6%) answered 'no' to all the variables in this question. Only

9.4% of the respondents answered yes to all the variables. A sound basis is required for the EAP to function proactively within an organisation. The respondents who answered this question contradict the information provided in Chapter 3 where 23 national workshops were held in the DCS wherein a needs analysis was conducted to ensure that programme planning and development included an assessment of the needs of the DCS employee population. This assessment was intended to help the DCS determine the most appropriate and cost-effective methods of providing EAP services. In responding negatively to the question, the respondents would be unaware of the function of a needs assessment, which is to ensure that the right approach is followed in the design of the EAP. If an in-house needs assessment is not conducted then an external, objective check on the subjective process of planning an EAP would apply. It would then be difficult to identify problem areas in which EAP services may be delivered cost-effectively. The responses to this question would further indicate that the composition of the workforce in terms of age, gender and marital status for example have not been taken into consideration to determine the need for different types of services and that barriers to impede the use of the EAP, which can be addressed prior to implementing services, were not identified.

#### **4.3.1.3 Conclusions**

Employee needs (V24) had been selected by 19.5% of the respondents. The vast majority of respondents indicated that variables 23 – 26 had not been included in their needs analyses. If this is added to the non-responses then the negative responses to this question are significantly higher.

#### **4.4. Standard 3**

**STANDARD (3)**

***“There should be an appropriate model for service delivery for specific employer organisations.”***

#### 4.4.1 Question 3

<b>3. Are you aware of the type of model for EAP service delivery that the DCS uses? If so indicate the type of model below. (V27)</b>
♦ On-site/ in-house (V28)
♦ Off-site / outsourced (V29)
♦ Combination model (V30)

**Table 5.7 EAP model for service delivery**

V27	Frequency	Percent
No (0)	69	50
Yes (1)	34	24.6
No response	35	25.4
n-138		
<b>(V) =Variable; (0) = No; (1) = Yes; (.) = No response</b>		

##### 4.4.1.1 Discussion of data

Fifty per cent of the respondents (69) appeared to be unaware of the model used in the DCS. Only a quarter of the respondents (24.6%) indicated that they knew which model was used in the DCS. There were 35 (25.4%) missing responses. It is important that employees understand why an organisation adopts a particular EAP model, so that they may identify with the services available to them. The respondents obviously

were unaware of the type of model adopted by the DCS. An understanding of the model adopted by an organisation would ensure the most effective model of service delivery as the recipients of the service would be able to question the application of the model in relation to its effectiveness and determine whether it had the capacity to enhance the services of the programme in the DCS. The problem was further compounded when the responses in the next table were considered.

**Table 5.8 Appropriateness of the model for service delivery**

<b>VV27</b>	<b>Frequency</b>	<b>Percent</b>
No (0)	104	75.4
Yes (1)	34	24.6
n-138		
<b>(V) =Variable; (0) = No; (1) = Yes; (.) = No response</b>		

#### **4.4.1.2 Discussion of data**

If the missing responses are added to the “no” responses then the number of responses would escalate to 75.4%. This table was developed to expand question three and reflected an even bleaker picture. It took into account the “no” responses and added them to the missing data with the assumption that those who did not answer the question would presumably have answered “no” if they had done so. It was revealed that only one in four employees understood or was aware of the EAP model used in the DCS. This implied that these individuals would not understand the rationale for the implementation of the combination model that the DCS had implemented since 1998. In the needs analysis conducted in the DCS during the inception of the EAP as reflected in chapter three, employees were asked what type of model they preferred. More than 90% of the respondents indicated that they would prefer a combination model as



outsiders would not be able to understand the problems experienced in the DCS. (Bhoodram, 2001:2).

**Table 5.9 Responses to the question on the DCS model**

<b>V28, V29, V30</b>	<b>Frequency</b>	<b>Percent</b>
...	52	37.7
..0	1	0.7
..1	12	8.7
.1.	1	0.7
0..	2	1.5
00.	1	0.7
000	33	23.9
001	1	0.7
010	1	0.7
1..	19	13.8
1.1	3	2.2
10.	1	0.7
100	4	2.9
111	7	5.1
n-138		
<b>(V) =Variable; (0) = No; (1) = Yes; (.) = No response</b>		

#### **4.4.1.3 Discussion of data**

A small percentage (5.1%) of the respondents chose all three models. Almost a quarter (23.9%) indicated that none of the models presented were utilised in the DCS. Five respondents chose the on-site/in-house model. Three respondents chose the off-site/outsourced model as the correct answer. Only four respondents correctly selected the correct model utilised in the DCS. These results contradict the results of questions 6.6 and 6.7. Feedback provided by respondents in the previous two

questions indicated that at least a quarter of the interviewees indicated they had some idea of the model used in the DCS. When asked to verify this by selecting the correct model, only 4 respondents made the correct choice. This indicated to the researcher that the respondents may have selected the models at random or guessed the correct answer.

#### 4.4.1.4 Conclusions

A small percentage (5.1%) of the respondents chose all three models indicating that they were unaware of the correct model. Only 4 respondents correctly identified the correct model used in the DCS (V30). Ignorance on the specific EAP model, supported by the DCS on the side of the heads of Correctional Centres, might result in limited input regarding strategic planning and future decisions on adaptations if indicated, for instance to expand on the utilisation figure.

#### 4.4.2 Question 4

**4. Do you believe that this is the best model for the DCS? (V31)**

##### 4.4.2.1 Findings

**Table 5.10 Suitability of the model for DCS**

V31	Frequency	Percent
No response (.)	24	17.4
No (0)	51	36.9
Yes (1)	63	45.7
n-138		
<b>(V) =Variable; (0) = No; (1) = Yes; (.) = No response</b>		

##### 4.4.2.2 Discussion of data

Almost one fifth (17.4%) of respondents did not respond to the question; almost half (45.7%) indicated that the existing model is the best for the DCS. The researcher believes that although the respondents may not know the type of model used in the DCS, they may still believe that the designated model is the best for the Department. Their responses could stem from their experiences with the EAP. This would be an indication that more than 40% of the respondents have faith in the model used in the DCS. When individuals have faith in the success rate of the EAP, utilisation rates can improve and they may be more likely to recommend the programme to fellow employees. The size and structure of the organization, the geographical location, accessibility to community resources, in-house capacity as well as preferences of employees are critical factors in selecting an appropriate model for an organisation. The relentless downward pressure on prices and budgets for EAP services is a serious concern according to Maynard (2005: 38). This is a concern for those wanting to implement a specific model in an organisation as limited funds may restrict the choices that departments have.

#### **4.4.2.3 Conclusions**

In the previous question 50% (See Table 6.6) of the respondents were unaware of the model used in the DCS. Only 24.6% indicated that they had been informed of the model used in the DCS. However the response to the question, whether this was the best model for the DCS, elicited 45.7% affirmative responses. The researcher believes that there should be a correlation between the responses for questions 3 and 4.

#### **4.5. Standard 4**

**STANDARD (4)**

*“Pricing of EAPs should be negotiated and agreed upon between the service provider and the employer, after different models have been considered. The function and outcome of models should be transparent and acceptable to all role players involved.”*

This standard was not covered in the questionnaire as the DCS has an internal model and there is no budget to outsource some or all of the EAP functions.

**4.6. Standard 5**

**STANDARD (5)**

*“The policy shall describe the EAP in its entirety.”*

**4.6.1 Question 5**

**5. Does your Management Area have copies of the EAP policy that describes the EAP in its entirety? (V32)**

**4.6.1.1 Findings**

**Table 5.11 Availability of copies of the EAP policy**

V32	Frequency	Percent
No response (.)	8	5.8
No (0)	66	47.8
Yes (1)	64	46.4
n-138		
(V) =Variable; (0) = No; (1) = Yes; (.) = No response		

**4.6.1.2 Discussion of data**

Respondents are almost equally divided in their responses to this question. The researcher believes that this question should have had two parts: a question on the availability of the EAP policy and another question on the description of the EAP in its entirety in the EAP policy. While the researcher believes that the EAPA SA standards document contains essential information that outlines policy procedure, aspects on strategic alignment and mandates are not included. For the policy to describe the EAP in its entirety, the document should make provision for matters such as:

- Employee and dependant access
- Managing alcohol and other forms of substance abuse, emotional, marital, family, financial and HIV/Aids and other related problems which may affect job performance, employee functioning and quality of life;
- Securing job status, which will not be jeopardized as a consequence of seeking EAP services, except where mandated by law.
- Specifying that employees who use an EAP are expected to adhere to the job performance requirements of the employer;
- Client/user records, which shall be kept strictly confidential to the extent provided for by law and/or regulation, and will not be documented in any official company record or in the employee's personnel file.
- Information from the EAP, which may only be released with the written permission of the employee, with response to legal requirements.
- Ensuring that the EAP is not exploited by non-complying employees," EAPA SA (2005:11-12).

#### **4.6.1.3 Conclusions**

If the number of respondents that indicated “no” to this question is combined with those who failed to respond then it can be concluded that 53.6% (74) of the Heads of Correctional Centres do not believe that the DCS has policies in place that describes the EAP in its entirety in the management areas. This would imply that EAP functions in the management areas would not have policy-backing and guidance to facilitate implementation.

#### 4.7. Standard 6

##### **STANDARD (6)**

*“The policy statement shall provide the guarantees, principles, the rights and responsibilities of the various stakeholders, such as the user, the employer and the provider.”*

#### 4.7.1 Question 6

**6. Is the EAP policy accessible to members on different levels? (V33)**

##### 4.7.1.1 Findings

**Table 5.12 Accessibility of the EAP policy**

<b>V33</b>	<b>Frequency</b>	<b>Percent</b>
No response (.)	2	1.4
No (0)	84	60.9
Yes (1)	52	37.7
n-138		
<b>(V) =Variable; (0) = No; (1) = Yes; (.) = No response</b>		

##### 4.7.1.2 Discussion of data

Almost two thirds (60.9%) of the respondents indicated that the policy was not accessible to members at different levels. Only 37.7% of the Heads of Correctional Centres answered positively. The researcher is aware that the responsibility for the accessibility of policy to all levels of the organisation is the responsibility of the HCC. The respondents therefore indicated that the HCC had not made the policy available to members on the different levels. This oversight may impact negatively on the EAP utilisation rates as employees may be unaware of how issues such as anonymity and confidentiality are explained in the policy to protect employees.

#### 4.7.1.3 Conclusions

The majority of the Heads of Correctional Centres believe that the policy is not available to members on different levels.

#### 4.7.2 Question 7

**7. Are the type of problems that may be addressed within the context of the EAP, mentioned? (V34)**

#### 4.7.2.1 Findings

**Table 5.13 Type of problem that maybe addressed within the context of the EAP**

V34	Frequency	Percent
No response (.)	10	7.3
No (0)	66	47.8
Yes (1)	62	44.9
n-138		
<b>(V) =Variable; (0) = No; (1) = Yes; (.) = No response</b>		

#### 4.7.2.2 Discussion of data

Almost half (47.8%) of the respondents indicated that they were of the opinion that the different types of problems that may be addressed by the EAP were not specified. Only 44.9 % of the respondents indicated that the types of problems that may be addressed by the EAP are revealed within the DCS policy statement. The policy should make provision for matters such as:

- Managing alcohol and other substance abuse cases, emotional, marital, family, financial and HIV/Aids and other related problems that may affect job performance, employee functioning and quality of life, EAPA SA (2005:11).

The following statement in the DCS policy focuses on the problems that are covered: “For the Department of Correctional Services the Employee Assistance Programme (EAP), is defined as a work-site based programme designed to assist in the identification and resolution of productivity problems associated with employees impaired by personal concerns, but not limited to: health, marital, family, financial, alcohol, drug, legal, emotional, stress, placement, or other personal concerns (e.g. manager – employee tension) which may adversely affect employee job performance,” DCS EAP policy (2000:2).

This statement however does not indicate the range of problems attended to by EAP practitioners in DCS. This lack of data poses a limitation in as far as the DCS EAP policy is concerned. However, the EAP in the DCS categorised problems that had been addressed over the years and devised a list as follows:

- Alcohol
- Absenteeism
- Accommodation
- Attempted suicide
- Bereavement
- Child welfare



- Depression
- Divorce
- Domestic violence
- Drug dependency
- Finance
- HIV/Aids
- Interpersonal conflict
- Maintenance
- Medical health
- Mental health
- Rape
- Stress
- Suicide
- Sexual harassment
- Social relationships
- Transfers
- Trauma
- Work related – (DCS EAP Final report, 2007).

#### **4.7.2.3 Conclusions**

Respondents are divided in their response to this question. Phillips (2006: 18-19) states that EAP practitioners offer different programmes and have adapted to meet new challenges.

#### **4.7.3 Question 8**



<b>8. Does your policy statement provide the guarantees, principles, the rights and responsibilities of the member?</b>
◆ Guarantees (V35)
◆ Principles (V36)
◆ Rights (V37)
◆ Responsibilities (V38)

#### 4.7.3.1 Findings

**Table 5.14 Policy statement guarantees**

V35, V36, V37, V38	Frequency	Percent
....	22	15.9
...1	1	0.7
..1.	1	0.7
..11	2	1.5
.1..	1	0.7
.111	1	0.7
0...	2	1.5
0000	50	36.2
0001	1	0.7
0010	1	0.7
0011	1	0.7
0111	2	1.5
1.1.	1	0.7
1.11	1	0.7
1000	1	0.7
1011	1	0.7
11.1	1	0.7
1111	48	34.8
n-138		
<b>(V) =Variable; (0) = No; (1) = Yes; (.) = No response</b>		

#### **4.7.3.2 Discussion of data**

One third (36.2%) of the Heads of Correctional Centres answered “no” to all the variables while 6.5% answered “no” to only some of the variables. Another third (34.8%) of the respondents answered “yes” to all the variables while 16 (11.5%) of the respondents answered “yes” to one or more of the variables.

As indicated by Myers (1984: 117-120) in Chapter 4 of this document, a policy statement should be one that explains:

- the significance of employee problems and the proportion of the workforce usually affected.
- that an EAP is being implemented to address these problems through a combination of prevention and confrontation interventions
- the range of problems to be treated in the EAP
- that client confidentiality is assured for all referrals and EAP records
- how family members are covered if they are eligible for services
- client services that the organization will provide
- the responsibilities and involvement of the union if there is one.
- disclaimers regarding the EAP and management’s authority to discipline deficient employees, union prerogatives to represent members or client employees’ employment and career advancement.

This information is usually found under the heading: principles underlying the employee assistance programme. In the DCS EAP policy the guarantees, principles, rights and responsibilities form a fundamental part of the policy and ensure that employees are motivated to utilise the programme without fear of reprisals.

#### **4.7.3.3 Conclusions**

Respondents were divided in their responses to this question. However 46.3% answered “yes” to one or more variable, confirming that guarantees, principles, rights and responsibilities were specified. This implied that HCCs were aware of the policy guarantees of the EAP.

#### 4.8 Standard 7

##### **STANDARD (7)**

***“An implementation plan shall outline the actions and schedule needed to establish an operationally effective EAP.”***

#### 4.8.1 Question 9

**9. Does your Management Area have an implementation plan which outlines the actions and schedule needed to establish an operationally effective EAP? (V39)**

##### 4.8.1.1 Findings

**Table 5.15 Implementation plan**

<b>V39</b>	<b>Frequency</b>	<b>Percent</b>
No response (.)	4	2.9
No (0)	100	72.5
Yes (1)	34	24.6
n-138		
<b>(V) =Variable; (0) = No; (1) = Yes; (.) = No response</b>		

##### 4.8.1.2 Discussion of data

The vast majority of respondents – almost two thirds, (72.5%) indicated that their relevant Management Area did not have an implementation plan. Only 34 respondents (24.6%) were aware of the Management Area implementation plan. The implementation plan usually describes the implementation in terms of actions needed, timeframes and resources to eliminate confusion. Successful rollout is dependent on a well-developed implementation plan. Not having an implementation plan in place in the DCS would cause confusion, especially since the security environment justifies the inclusion of special provisions. Service delivery within a security environment would require the approach to be customised to incorporate issues of safe custody. Another important consideration is the fact that work sites in the DCS are very far apart and comprise both urban and rural sites. Stakeholders, including management, labour, employees and their families would by necessity be informed of their responsibilities through the Implementation Plan. Staffing and training are important aspects of the implementation plan. These areas are covered in detail in chapter three under the heading: Implementation report on the post establishment of the EAP in DCS (1999).

#### **4.8.1.3 Conclusions**

Only a quarter of the Management Areas have an implementation plan. This would suggest that the EAP is deficient, which prevents it from being implemented in a uniform manner in Management Areas.

#### **4.9. Standard 8**

##### **STANDARD 8**

***“An appropriate number and suitably qualified EAP professionals shall be available to achieve the stated goals and objectives of the programme.”***

##### **4.9.1 Question 10**

**10. Does your Management Area have an appropriate number of EAP professionals available to achieve the stated goals and objectives of the programme? (V40)**

#### 4.9.1.1 Findings

**Table 5.16 Number of EAP professionals**

<b>V40</b>	<b>Frequency</b>	<b>Percent</b>
No response (.)	1	0.7
No (0)	123	89.1
Yes (1)	14	10.1
n-138		
<b>(V) =Variable; (0) = No; (1) = Yes; (.) = No response</b>		

#### 4.9.1.2 Discussion of data

One hundred and twenty three respondents (89.1%) indicated that the Management Areas were not sufficiently staffed. Only fourteen respondents (10.1%) indicated that there were sufficient EAP practitioners in their Management Areas. These are very crucial responses in terms of this study. In the implementation report discussed in chapter three, it was stated that the norm for employing EAP practitioners in the DCS would be 1: 1000 relative to insufficient funding to roll out the programme. Consequently, 35 EAP practitioners were appointed in lieu of the 35 000 DCS employees. However, many of these EAP practitioners resigned to take up employment elsewhere or were lured by better pay packages to work in other departments. At the time of administering the questionnaires there were only 18 EAP practitioners on staff, thus almost doubling the

pre-scribed quota of employees per specialist. An overwhelming majority of HCCs indicated that there were insufficient EAP practitioners in the management areas, a fact endorsed by the qualitative responses to the question “Does your Management Area have an appropriate number of EAP professionals available to achieve the stated goals and objectives of the programme? HCCs raised concerns about the diminished number of EAP practitioners in the DCS; yet the negative response to this question could also be an indication of the negative responses to many of the other questions as no EAP practitioners are employed in those management areas. The researcher believes that HCCs responded negatively to the question as they did not have EAP practitioners in their management areas.

#### 4.9.1.3 Conclusions

There are an insufficient number of EAP practitioners in the Management Areas.

#### 4.10 Question 11

**11. Does your Management Area have suitably qualified EAP professionals available to achieve the stated goals and objectives of the programme? (V41)**

##### 4.10.1 Findings

**Table 5.17 Qualifications of the EAP**

V41	Frequency	Percent
No response (.)	18	13.0
No (0)	84	60.9
Yes (1)	36	26.1
n-138		
<b>(V) =Variable; (0) = No; (1) = Yes; (.) = No response</b>		

#### 4.10.2 Discussion of data

Eighty four (60.9%) respondents stated that they do not have suitably qualified EAP practitioners in their Management Areas. Only thirty six (26.1%) indicated that there were suitably qualified EAP practitioners in their Management Areas. The responses to this question should be read in conjunction with the previous question where 123 respondents indicated an insufficient number of EAP practitioners in the management areas. One of the principles used by the DCS when employing EAP practitioners is that candidates must have a Degree in Social Work as a minimum qualification. No EAP practitioner will be considered for employment by the DCS without this entry level minimum qualification. Those respondents who indicated that their management areas did not have suitably qualified EAP practitioners on staff were probably stating that no EAP practitioners were on staff in their management areas.

#### 4.10.3 Conclusions

The majority of Management Areas do not have suitably qualified EAP staff.

#### 4.11 Standard 9

##### **STANDARD (9)**

***“Every EAP professional who provides services shall be subjected to ongoing consultation and/or case management.”***

##### 4.11.1 Question 12

**12. Does your Management Area provide ongoing consultation for EAP professionals who provide services? (V42)**



#### 4.11.2 Findings

**Table 5.18 Ongoing consultations for EAP professionals**

V42	Frequency	Percent
No response (.)	18	13.0
No (0)	85	61.6
Yes (1)	35	25.4
n-138		
<b>(V) =Variable; (0) = No; (1) = Yes; (.) = No response</b>		

#### 4.11.3 Discussion of data

The majority of respondents, eighty five (61.6%), indicated that the DCS did not provide ongoing consultation for EAP professionals, while eighteen (13.0%) of the respondents failed to answer this question. In the chapter on EAPA SA standards, Craig (1997: 63 – 69) discusses in-house programmes and how they are evolving. She states that there is a growing demand for bottom-line functioning and that professional counselling can be both financially and professionally beneficial to an organisation. Craig also states that the primary purpose of clinical supervision is to refine counselling skills, enhance and develop the ability to organize professional practice, assist in determination of priority of focus and to ensure ethical accountability in the practice of the profession. All job profiles of EAP practitioners in the DCS include the issue of ongoing supervision and consultation. The supervision of EAP practitioners is also a primary responsibility of the DCS head office.

#### 4.11.4 Conclusions

There is limited ongoing consultation and supervision for EAP professionals.

#### 4.12. Standard 10

##### **STANDARD (10)**

*“The written policy shall include a statement on confidentiality that is consistent with all professional standards, ethics and legal requirements and which regulate the management of information.*

#### 4.12.1 Question 13

**13. Does your Management Area have a written policy which includes a statement on confidentiality consistent with all professional standards, ethics and legal requirements which regulate the management of information? (V43)**

#### 4.12.2 Findings

**Table 5.19 Statement of confidentiality in the written policy**

<b>V43</b>	<b>Frequency</b>	<b>Percent</b>
No response (.)	18	13.0
No (0)	63	45.7
Yes (1)	57	41.3
n-138		
<b>(V) =Variable; (0) = No; (1) = Yes; (.) = No response</b>		

#### 4.12.3 Discussion of data

Almost half the number of respondents who answered this question (45.7%) indicated that the management areas did not have policies in place that included statements of confidentiality. This feedback was consistent with responses pertaining to standard 5 where 47.8% indicated

that Heads of Correctional Centres did not believe that the policy described the EAP in its entirety. The following is an extract from the DCS EAP policy:

Confidentiality of the Employee Assistance Programme

- 6.14 *In line with the Code of Ethics and Standards on the Employee Assistance Programme, consultations with EA practitioners shall be treated in the strictest of confidence.* Information provided during consultations shall not be shared with anyone, including the Department's management, except where written permission has been given by the member concerned or when it is required by law as in the cases of potential homicide or suicide.
- 6.15 The information provided by members during consultations shall not be used for any other purpose other than what was agreed to by the EA practitioner and the affected member.
- 6.16 A breach of confidentiality by the EA practitioner will be a violation of both the Department's Code of Conduct as well as the Employee Assistance Professional Association Board of South Africa (EAPASA) to which they belong. Disciplinary action will be taken against those EA practitioners who are found to have breached the confidentiality of the consultations. DCS EAP policy (2000:6-7)

It is therefore evident that those who indicated that the DCS does not have a policy which includes guarantees on confidentiality are unaware of the DCS policy as indicated above.

#### **4.12.4 Conclusions**

The availability of EAP policies with statements on confidentiality is confined to some management areas in the DCS.

#### **4.13. Standard 11**

**STANDARD (11)**

***"The EAP shall maintain records."***

#### 4.13.1 Question 14

**14. Does your Management Area keep proper EAP records? (V44)**

#### 4.13.2 Findings

**Table 5.20 Keeping of proper records**

V44	Frequency	Percent
No response (.)	19	13.8
No (0)	76	55.1
Yes (1)	43	31.1
<b>(V) =Variable; (0) = No; (1) = Yes; (.) = No response</b>		

#### 4.13.3 Discussion of data

Seventy six (55.1%) of the respondents indicated that the Management Area did not keep records while forty three (31.1%) indicated that EAP records were being kept. Some interviewees (13.8%) did not respond to the question. The EAPA SA standards document indicates that it is necessary to design and maintain a system of records regarding the following:

- Administrative matters;
- Documentation regarding meetings;
- Clinical information;
- Corporate client information;
- Evaluation data;
- Marketing and promotional material; and training material. EAPA SA (2005:14-15).

The researcher believes that it would be difficult to identify trends, provide quarterly statistics, evaluate and monitor progress in management areas

without a record keeping system in place. Record keeping is essential to justify the existence of the programme and to illustrate the value EAP adds to the organisation.

#### 4.13.4 Conclusions

Several Management Areas do not keep EAP records.

#### 4.14. Standard 12

##### **STANDARD (12)**

***“All EAP professionals shall have adequate professional liability insurance.”***

#### 4.14.1 Question 15

**15. Do all EAP professionals in your Management Area have adequate professional liability insurance? (V45)**

#### 4.14.2 Findings

**Table 5.21 Professional liability insurance**

V45	Frequency	Percent
No response (.)	30	21.7
No (0)	90	65.2
Yes (1)	18	13.0
n-138		
<b>(V) =Variable; (0) = No; (1) = Yes; (.) = No response</b>		

#### 4.14.3 Discussion of data

Ninety respondents (65.2%) answered negatively to this question, while only eighteen (13.0%) indicated that all EAP professionals within their Management Areas had adequate professional liability insurance. Adherence to this standard minimizes the risk of exposure by protecting the professional EAP practitioner in the event of litigation. All EAP practitioners are expected to maintain their registration with the Social Work Council as a condition of employment in the DCS. Membership means they would have the necessary protection under the council. The DCS however does not have professional liability insurance for its EAP practitioners but has a legal component that would assist the EAP practitioners to defend any action against them.

#### 4.14.4 Conclusions

EAP professionals do not have liability insurance.

#### 4.15. Standard 13

##### **STANDARD (13)**

***“EAP professionals shall register and maintain their registration with their respective statutory and/or professional councils and adhere to the codes of practice of such bodies.***

#### 4.15.1 Question 16

**16. Do all EAP professionals in your Management Area register and maintain their registration with their respective statutory and/or professional councils? (V46)**

#### 4.15.2 Findings

**Table 5.22 Registration of EAP professionals**

<b>V46</b>	<b>Frequency</b>	<b>Percent</b>
No response (.)	25	18.1
No (0)	76	55.1
Yes (1)	37	26.8
n-138		
<b>(V) =Variable; (0) = No; (1) = Yes; (.) = No response</b>		

#### 4.15.3 Discussion of data

Only thirty seven (26.8%) of the respondents indicated that EAP professionals in their Management Area did in fact register and maintain their registration with their respective statutory and/or professional councils. Seventy six (55.1%) responded negatively to the question, implying that EAP professionals in their Management Area failed to register and maintain registration with their respective statutory and/or professional councils, while twenty five (18.1%) did not respond. According to the Codes of Ethics of relevant professional bodies, EAP professionals are urged to register with their respective statutory and/or professional councils not only to ensure professional behaviour at all times but also to ensure client and customer protection. EAP professionals in the DCS are responsible for the consequences of their actions and as a condition of service are not appointed if they are not registered with the social work council. It is also a condition of service to maintain registration. As indicated in chapter four Winegar (2002:55-56) discusses the issues of ethical focus as well as the highest ideals of human interaction. He also goes on to state that over the past century, various counselling professions have emerged and resultantly introduced unique professional codes of ethical conduct policies.

#### 4.15.4 Conclusions

Some EAP professionals fail to register with statutory bodies while others neglect to maintain their membership.

#### 4.16 Standard 14

##### **STANDARD (14)**

*“The EAP will offer trauma defusing and trauma debriefing services for employees, family members, and the organization in extreme situations.”*

##### 4.16.1 Question 17

**17. Does the EAP in your Management Area offer trauma debriefing services for employees, family members, and the organization when necessary? (V47)**

##### 4.16.2 Findings

**Table 5.23 Offering of trauma debriefing services**

<b>V47</b>	<b>Frequency</b>	<b>Percent</b>
No response (.)	22	15.9
No (0)	80	58.0
Yes (1)	36	26.1
n-138		
<b>(V) =Variable; (0) = No; (1) = Yes; (.) = No response</b>		



#### 4.16.3 Discussion of data

Eighty (80) respondents (58%) indicated that the EAP in their Management Area does not offer trauma debriefing services for employees, family members, and the organization when necessary; thirty six (26.1%) of the respondents indicated positively to the question. Trauma debriefing services in an organisation like the DCS, are imperative. It has been consistently stated in the Jali/Barlow report presented in this thesis, that DCS employees are often subjected to traumatic situations. The very nature of the work of correctional officials entails working with alleged dangerous offenders. It is therefore vital that the EAP is positioned to provide trauma defusing services to the immediate affected employees in response to traumatic situations. If this service is lacking in most management areas, then it would not be possible to carry out what McAninch (2006: 16) in chapter four recommends, namely that EAP practitioners need to adjust their tactics dealing with disaster situations. McAninch states that while trauma defusing and debriefings should ideally be performed within 24-48 hours of a disaster, they should include a follow-up plan. This means that the affect a traumatic situation has on an individual should be identified and attended to in subsequent sessions, following the critical 24-48 hour window.

#### 4.16.4 Conclusions

Trauma defusing and debriefing services are not being offered in most Management Areas.

#### 4.17 Standard 15

##### **STANDARD (15)**

***“The EAP will offer responsive intervention services to assist employees, their family members and the organization in crisis situations.”***

#### 4.17.1 Question 18

**18. Does the EAP in your Management Area offer responsive intervention services for employees, family members and the organization in crisis situations? (V48)**

#### 4.17.2 Findings

**Table 5.24 Offering of intervention services in crisis situations**

V48	Frequency	Percent
No response (.)	21	15.2
No (0)	81	58.7
Yes (1)	36	26.1
n-138		
<b>(V) =Variable; (0) = No; (1) = Yes; (.) = No response</b>		

#### 4.17.3 Discussion of data

Responses to this question were very similar to the answers given to the previous question. More than half the number of respondents indicated that the EAP failed to offer responsive intervention services for employees, their family members and the organization in crisis situations. Only thirty six (26.1%) respondents indicated that the EAP offered responsive intervention services for employees, their family members and the organization in crisis situations. It is critical for the DCS to respond to emergencies and urgent situations in a timely fashion, consistent with organizational policies. As indicated in chapter one many common occupational stresses exist within the DCS. These include unfavourable working conditions and frustrating demands of managers and prisoners made on employees, all of which impact both directly and indirectly on employees' general health and productivity, their family members as well

as the functionality of the organisation as a whole. The respondents indicated that responsive intervention services were not available in the majority of management areas, which meant that necessary services were not available in most of the management areas.

#### 4.17.4 Conclusions

The EAP does not, in the majority of Management Areas, offer responsive intervention services for employees, their family members and the organization in crisis situations.

#### 4.18. Standard 16

<b>STANDARD (16)</b>
<b><i>“EAP professionals or an assessment service under contract to the organization, will:</i></b>
<ul style="list-style-type: none"> <li>• <b><i>Conduct an assessment to identify employee and/or family member and/or organisational problems;</i></b></li> </ul>
<ul style="list-style-type: none"> <li>• <b><i>Develop a plan of action, and;</i></b></li> </ul>
<ul style="list-style-type: none"> <li>• <b><i>Recommend or refer the individual(s) to an appropriate resource of intervention.”</i></b></li> </ul>

#### 4.18.1 Question 19

<b>2</b>	<b>19. Does the EAP Professional:</b>
	<ul style="list-style-type: none"> <li>◆ Conduct a clinical assessment to identify employee and/or family member and/or organizational problems? (V49)</li> </ul>
	<ul style="list-style-type: none"> <li>◆ Develop a plan of action? (V50)</li> </ul>
	<ul style="list-style-type: none"> <li>◆ Recommend or refer the individual(s) to an appropriate resource of intervention? (V51)</li> </ul>

#### 4.18.2 Findings

**Table 5.25 Assessments, plans of action and referrals**

V49, V50, V51	Frequency	Percent
...	12	8.7
0.0	1	0.7
0.1	1	0.7
000	74	53.6
001	5	3.6
010	1	0.7
011	6	4.4
1.1	2	1.5
100	1	0.7
101	2	1.5
110	1	0.7
111	32	23.2
n-138		
<b>(V) =Variable; (0) = No; (1) = Yes; (.) = No response</b>		

#### 4.18.3 Discussion of data

Seventy four (53.6%) of the respondents indicated that EAP practitioners in their management area failed to perform any of the functions listed in the question. Only thirty two respondents (23.2%) indicated that all the functions were performed. Nineteen (19) respondents indicated that only some of the functions were performed by the EAP. It is imperative that an accurate assessment, action plan and appropriate referral should form an integral part of the EAP process model with the intention to increase the likelihood of increased job performance and employee well-being. The credibility of the DCS EAP depends to a great extent on assessments and referrals that are conducted professionally. As part of the action plan it is

necessary to indicate to the client the reasons for the referral as well as the fact that DCS employees would not incur any costs as the referral process forms part of their medical aid. All referrals, as well as follow ups on referrals, form part of the data collection process in the DCS and must be reported quarterly to Head Office.

#### **4.18.4 Conclusions**

Not all functions are performed by the professional EAP in all management areas. However 51 respondents indicated that one or more of the activities listed are performed in the management areas.

#### **4.19 Standard 17**

##### ***STANDARD (17)***

***“EAP professionals will determine when it may be appropriate to provide short-term intervention services and when to make a referral to community resources.”***

#### **4.19.1 Question 20**

**20. In your Management Area do EAP professionals assess in order to determine when it may be appropriate to provide short-term intervention services and when to make a referral to community resources? (V52)**

#### 4.19.2 Findings

**Table 5.26 Assessments**

<b>V52</b>	<b>Frequency</b>	<b>Percent</b>
No response (.)	14	10.1
No (0)	80	58.0
Yes (1)	44	31.9
n-138		
<b>(V) =Variable; (0) = No; (1) = Yes; (.) = No response</b>		

#### 4.19.3 Discussion of data

Eighty (58.0%) of the respondents indicated that EAP professionals do not assess a needs analysis in order to determine when it may be appropriate to provide short-term intervention services and when to make a referral to community resources, while 44 (31.9%) respondents answered to the contrary. This response was very closely related to the previous response. In the DCS the EAP focused on the six-session model and usually referred the client to an outside resource if the EAP could not assist the client in the prescribed sessions. The EAP assessment formed an integral part of the EAP process and was crucial in determining whether or not to refer the client. The assessment process in the DCS was usually an hour in duration, preceded by the completion of a questionnaire. The assessment process is important because it ensures that the EAP operates within the scope of their registration and expertise.

#### 4.19.4 Conclusions

Most EAP professionals do not assess a needs analysis in order to determine when it may be appropriate in providing short-term intervention services and when to make a referral to community resources.

#### 4.20 Standard 18

##### **STANDARD (18)**

*“The process of referral will be reviewed and monitored to ensure progress.”*

##### 4.20.1 Question 21

**21. In your Management Area is the process of referral reviewed and monitored to ensure progress? (V53)**

##### 4.20.2 Findings

**Table 5.27 Monitoring of referrals**

<b>V53</b>	<b>Frequency</b>	<b>Percent</b>
No response (.)	14	10.1
No (0)	92	66.7
Yes (1)	32	23.2
n-138		
<b>(V) =Variable; (0) = No; (1) = Yes; (.) = No response</b>		

##### 4.20.3 Discussion of data

More than two thirds of the respondents, a total of 92 (66.7%) indicated that the process of referral was not reviewed and monitored. This figure increases to more than 75% if those who did not respond to the question are added. Only thirty two (23.2%) of the respondents answered “yes” to the question “In your Management Area is the process of referral reviewed and monitored to ensure progress. While the respondents who answered

yes to this question may be lower than the previous question, it is acceptable as not all clients are referred outside the DCS for assistance. It is necessary to monitor referral to ensure that clients do not have too many treatment sessions as this is a costly process. The goals and objectives of the intervention plan should also be monitored and controlled by the EAP. Consequently, the EAP will be in a position to submit the necessary feedback to the manager or supervisor. The process of monitoring referrals will facilitate the DCS in making sure that DCS clients receive the assistance they need and to ensure that progress is being made.

#### **4.20.4 Conclusions**

The process of referral is not reviewed and monitored in the majority of management areas.

#### **4.21. Standard 19**

##### ***STANDARD (19)***

***“The EAP will ensure that follow-up and aftercare services are provided to EAP clients, supervisors, and union representatives.”***

#### **4.21.1 Question 22**

**22. In your Management Area does the EAP ensure that follow-up services are provided to EAP clients? (V54)**



#### 4.21.2 Findings

**Table 5.28 Follow up services**

V54	Frequency	Percent
No response (.)	15	10.9
No (0)	81	58.7
Yes (1)	42	30.4
n-138		
<b>(V) =Variable; (0) = No; (1) = Yes; (.) = No response</b>		

#### 4.21.3 Discussion of data

Forty two (30.4%) of the HCCs indicated that follow-up services were provided to EAP clients while 81 respondents (58.7%) stated the contrary. This response is closely related to the previous question and question 20. The objective of follow-up services is twofold: to determine whether the individual has made progress and whether the client has been successfully reintegrated into the workplace following intervention. If this service is not provided, clients may be expected to return to optimal production immediately, albeit unfairly since they were not subjected to follow-up services and intervention, and therefore not afforded the opportunity to be successfully reintegrated into the workplace. Supervisors may also expect the client to work in the same environment that caused the problem in the first instance, which might exacerbate their current state of health and wellbeing. Incidents where employees are attacked and stabbed by offenders occur in the DCS. A client who has been traumatised in this way may not feel comfortable to resume their duties working in close proximity with offenders; this will require follow-up services to determine whether h/she is coping.

#### 4.21.4 Conclusions

Some follow-up services are provided to EAP clients.

#### 4.22 Standard 20

##### **STANDARD (20)**

*“The EAP professional will consult with the organization when developments and events, such as retrenchments or mergers, impact on employee well-being and fall within the EAP discipline and the EAP professional’s area of expertise.”*

#### 4.22.1 Question 23

**23. In your Management Area does the EAP professional consult with the organization when developments and events, such as retrenchments or restructuring, impact on employee well-being and fall within the EAP and the EAP professional’s area of expertise? (V55)**

#### 4.22.2 Findings

**Table 5.29 EAP consultation to the organisation**

<b>V55</b>	<b>Frequency</b>	<b>Percent</b>
No response (.)	21	15.2
No (0)	87	63.0
Yes (1)	30	21.7
n-138		
<b>(V) =Variable; (0) = No; (1) = Yes; (.) = No response</b>		

#### 4.22.3 Discussion of data

Eighty-seven (87) respondents (63.0%) indicated that the EAP professional does not consult with the organization when developments

and events, such as retrenchments or restructuring, impact on employee well-being and fall within the EAP discipline and the EAP professional's area of expertise. Only 30 respondents (21.7%) answered "yes" to the question. In the chapter on standards Cunningham (1994:169 – 188) states that the EAP should be positioned within the organisation to deliver assistance to both employees and the organisation through consultation when developments and events, such as retrenchments or restructuring, impact on employee well-being as one of its fundamental responsibilities. This would involve contributing assistance on issues that would play a part in helping employee wellness when problems arise. The EAP practitioner should also be a reliable source of information when employees cannot understand the rationale behind issues like retrenchments, downsizing, etc. EAP practitioners are also responsible for critical incident debriefing as well as influencing organisational culture. The DCS has been restructured several times and transformed from being labelled a militarised organisation. Consultation and negotiation between the EAP and the organisation is necessary to recognize obstacles to development and identifying collaborative opportunities to move forward, particularly in instances where the organisation is going through change.

#### **4.22.4 Conclusions**

The EAP professional only consults with the organization when developments and events, such as retrenchments or restructuring, impact on employee well-being and fall within the EAP discipline and the EAP professional's area of expertise in the minority of Management Areas.

#### **4.23 Standard 21**

**STANDARD (21)**

***"The EAP will provide training for supervisors, management and union representatives in order to give them an understanding of the EAP."***

#### 4.23.1 Question 24

**24. In your Management Area does the EAP provide training for members?  
(V56)**

#### 4.23.2 Findings

**Table 5.30 EAP training**

V56	Frequency	Percent
No response (.)	23	16.7
No (0)	85	61.6
Yes (1)	30	21.7
n-138		
<b>(V) =Variable; (0) = No; (1) = Yes; (.) = No response</b>		

#### 4.23.3 Discussion of data

Only 30 respondents indicated that the EAP in their management are provided training for members. The majority of respondents (61.6%) indicated that the EAP failed to provide training for members. The consequence of not providing training in an organisation meant that role players such as management, members of labour unions, supervisors and colleagues would be ignorant of the importance of their roles and responsibilities, which inevitably could lead to low self-worth, confusion and lack of motivation. Management needs to be educated on the strategic role that the EAP plays especially in restructuring organisational strategy, reducing absenteeism, understanding challenges of employee working relationships with inmates, and supporting the EAP to deal with problems associate with unacceptable employee behaviour. Supervisors need to understand how and when to refer subordinates to an EAP as well as their role in reintegrating employees into the workplace. Labour must

be educated to recognize that they have access to assistance programmes and receive training so that they may understand that the EAP can assist them with problems that negatively impact on their productivity. Employees should also have a clear understanding of their role in identifying and referring colleagues for help as they are often the first to notice signs of behavioural change that might exacerbate and cause detrimental harm to the worker if ignored.

#### **4.23.4 Conclusions**

Training is provided by the EAP in some Management Areas – although in the minority – which should be seen as a serious limitation due to the direct link between successful penetration of an EAP and effective and ongoing supervisory training.

#### **4.24 Standard 22**

**STANDARD (22)**

***“EAP professionals will ensure the availability of user-friendly promotional material and educational activities, intended to encourage the use of the programme by supervisors, managers, union representatives, peers, employees, and their family members.”***

**This standard was not covered in the questionnaire.**

If this standard was covered it would have entailed marketing the concept of programme utilization, which is often a determinant of EAP success. It is vital to increase visibility of mainstream EAP services into the core business strategy of the organization. The researcher realises that the process of communicating how the service functions and its outcome becomes an integral function of marketing, which includes employee orientation programmes, company and labour union bulletin boards,

newsletters and employee meetings. This question can however relate closely to the next question on networking.

#### 4.25 Standard 23

##### **STANDARD (23)**

***“The EAP, being an integral part of the organization, should network with the various internal departments.”***

#### 4.25.1 Question 25

**25. In your Management Area does the EAP, being an integral part of the organization, network with the various internal sections?(V57)**

#### 4.25.2 Findings

**Table 5.31 Networking**

<b>V57</b>	<b>Frequency</b>	<b>Percent</b>
No response (.)	21	15.2
No (0)	83	60.1
Yes (1)	34	24.6
n-138		
<b>(V) =Variable; (0) = No; (1) = Yes; (.) = No response</b>		

#### 4.25.3 Discussion of data

Twenty one respondents (15.2%) did not answer the question. Eighty three (60.1%) respondents indicated that the EAP does not network with

the various internal sections while 24.6% (34 respondents) indicated that they do. EAPA SA (2005:22) identifies the role of EAP as having to;

- Network with role players in order to ensure a commitment to the EAP;
- Encourage other departments to recognise the EAP as an integral organizational resource and to utilise the EAP appropriately;
- Clarify EAP boundaries and authority lines within the organization in order to protect EAP neutrality and facilitate teamwork;
- Encourage appropriate referral to the EAP without revealing confidential information;
- Participate in decision-making about organizational policies and programmes that may impact on the EAP, such as strategic planning, design and implementation of wellness programmes.

The researcher believes that this standard has been neglected in the DCS and although there may not be sufficient EAP practitioners, marketing and networking form an integral part of EAP management.

#### 4.25.4 Conclusions

There is limited networking between the EAP and the internal sections.

#### 4.26 Standard 24

**STANDARD (24)**

***“The EAP, shall identify, utilize and evaluate healthcare delivery systems and community resources, which provide quality assistance at an affordable cost for the organization, employees and family members.”***

#### 4.26.1 Question 26

**26. In your Management Area does the EAP utilize cost- effective healthcare delivery resources for members? (V58)**

#### 4.26.2 Findings

**Table 5.32 Utilisation of cost effective health care services**

V58	Frequency	Percent
No response (.)	26	18.8
No (0)	86	62.3
Yes (1)	26	18.8
n-138		
<b>(V) =Variable; (0) = No; (1) = Yes; (.) = No response</b>		

#### 4.26.3 Discussion of data

Eighty-six (86) respondents (62.3%) indicated that the EAP does not utilise cost- effective healthcare delivery resources for members. Less than 20% (26 respondents) indicated that the EAP does utilise cost-effective healthcare delivery resources for members. In the DCS the researcher secured community information and referral directories that provide services suited to the needs of EAP clients in the geographic areas served, namely names of private professionals, lists of mental health centres, treatment programmes and information on self-help centres. A directory of professionals that the EAP could refer to had been provided to each practitioner during their orientation. All sources were verified and EAP Practitioners were encouraged to visit the relevant service providers to determine whether the services are of a predetermined quality. Factors to be considered are: availability, co-ordination with the EAP, accessibility, knowledge of work environments,



responsiveness, protection of clients’ rights, confidentiality, service delivery procedures, geographic location, professional capability, cost and payment systems, financial relationship to the EAP, references from former clients,” EAPA SA (2005:23).

#### 4.26.4 Conclusions

The EAP does not utilise cost-effective healthcare delivery resources for members in most Management Areas.

#### 4.27 Standard 25

##### **STANDARD (25)**

***“EAP professionals shall maintain and upgrade their knowledge by belonging to an organization specifically designed for EAP professionals, attend training and/or professional development programmes and maintain regular ongoing contact with other EAP professionals.”***

##### 4.27.1 Question 27

**27. In your Management Area do EAP professionals maintain and upgrade their knowledge by belonging to an organization specifically designed for EAP professionals? (V59)**

##### 4.27.2 Findings

**Table 5.33 Maintenance and upgrading of qualifications**

<b>V59</b>	<b>Frequency</b>	<b>Percent</b>
No response (.)	29	21.0
No (0)	76	55.1
Yes (1)	33	23.9
n-138		
<b>(V) =Variable; (0) = No; (1) = Yes; (.) = No response</b>		

#### 4.27.3 Discussion of data

Thirty three (23.9%) of the respondents indicated that EAP professionals maintain and upgrade their knowledge by belonging to organizations specifically designed for EAP professionals. However 55.1% (76 respondents) did not agree that EAP professionals maintained and upgraded their knowledge by belonging to an organization specifically designed for EAP professionals. In the DCS all EAP practitioners are expected to obtain EAPA SA membership as well as register with the South African Council for Social Service Professions to enhance their knowledge and skills of the EAP discipline and ensure that they are kept informed of new developments and technologies in the field of EAP service delivery.

#### 4.27.4 Conclusions

A fairly large quotient of EAP professionals in the majority of Management Areas fail to maintain and upgrade their knowledge by belonging to an organization specifically designed for EAP professionals.

#### 4.27.5 Question 28

**28. In your Management Area do the EAP professionals attend training and/or professional development programmes? (V60)**

#### 4.27.6 Findings

**Table 5.34 Training for EAP practitioners**

V60	Frequency	Percent
No response (.)	28	20.3
No (0)	80	57.9
Yes (1)	30	21.7
n-138		
<b>(V) =Variable; (0) = No; (1) = Yes; (.) = No response</b>		

#### 4.27.7 Discussion of data

More than half (57.9%) the number of HCCs indicated that the EAP professionals in their Management Area do not attend training and/or professional development programmes while a fifth (21.7%) indicated that they do. EAP practitioners must keep abreast of the latest trends in counselling as well as have access to research undertaken in the different fields. This objective can only be achieved through on-going training and professional development. Training sessions on relevant topics are arranged throughout the year by the different chapters. EAPA SA also presents an annual conference that allows delegates access to up-to-date research and professional development within the discipline. All EAP practitioners are expected to attend training programmes and workshops to keep abreast of latest trends in their field.

#### 4.27.8 Conclusions

Only a small number of EAP practitioners attend training and/or professional development programmes within their Management Areas.

#### 4.27.9 Question 29

**29. In your Management Area do the EAP professionals maintain regular ongoing contact with other EAP professionals? (V61)**

#### 4.27.10 Findings

**Table 5.35 Maintenance of contact with other EAP professionals**

V61	Frequency	Percent
No response (.)	29	21.0
No (0)	78	56.5
Yes (1)	31	22.5
n-138		
<b>(V) =Variable; (0) = No; (1) = Yes; (.) = No response</b>		

#### 4.27.11 Discussion of data

Seventy-eight (78) respondents (56.5%) indicated that EAP professionals do not maintain regular ongoing contact with other EAP professionals. A fifth (31) of the respondents stated that they do. EAP practitioners need to share information about new developments and technologies with others in the field. They must also ensure that they participate in regular formal gatherings and meetings to share information and expertise as well as best practices. Maintaining regular contact with other professionals is also an essential aspect that allows practitioners to keep abreast of latest issues and methodologies in that particular field. If this philosophy is not adopted EAP practitioners in the DCS risk falling behind in terms of their knowledge and expertise, and consequently stagnate their development; the continual advance of the discipline depends on seeking opportunities to share information, debate and liaise with fellow professionals.

#### 4.27.12 Conclusions

Only a few EAP professionals maintain regular ongoing contact with other EAP professionals.

#### 4.28 Standard 26

**STANDARD (26)**

***“EAP professionals shall be informed of new developments within the discipline and encouraged to network with external bodies whose actions impact positively on EAP activities.”***

#### 4.28.1 Question 30

**30. In your Management Area do the EAP professionals network with external bodies which impact on EAP activities? (V62)**

#### 4.28.2 Findings

**Table 5.36 Networking with external bodies**

V62	Frequency	Percent
No response (.)	28	20.3
No (0)	75	54.3
Yes (1)	35	25.4
n-138		
<b>(V) =Variable; (0) = No; (1) = Yes; (.) = No response</b>		

#### 4.28.3 Discussion of data

Thirty five (25.4%) of the HCCs indicated that EAP professionals in their Management Area networked with external bodies whose actions impact positively on EAP activities; while more than half (54.3%) did not agree. Twenty eight respondents failed to respond to this question. This question is very closely related to questions 27, 28 and 29. Networking with external bodies to induce professional development is crucial to the progress of the EAP. The EAPA SA standard adequately covers this question by indicating that EAP professionals should network with legislative, advocacy, financial, regulatory, business and academic institutions, EAPA SA (2005:25).

#### 4.28.4 Conclusions

One in four respondents indicated that EAP professionals networked with external bodies which impact on EAP activities.

#### 4.29 Standard 27

##### **STANDARD (27)**

***“EAP professionals evaluate the appropriateness, cost-effectiveness and efficiency of EAP operational activities.”***

#### 4.29.1 Question 31

**31. In your Management Area do the EAP professionals evaluate the appropriateness of EAP operational activities? (V63)**

#### 4.29.2 Findings

**Table 5.37 Evaluation of services**

<b>V63</b>	<b>Frequency</b>	<b>Percent</b>
No response (.)	30	21.7
No (0)	78	56.5
Yes (1)	38	21.7
n-138		
<b>(V) =Variable; (0) = No; (1) = Yes; (.) = No response</b>		

#### 4.29.3 Discussion of data

Seventy eight (56.5%) respondents answered “no” to the question whether EAP professionals evaluated the appropriateness of EAP operational activities while thirty eight (21.7%) answered “yes”. According to Emener, Hutchison and Richard (2003:303-305), as indicated in chapter four, programme evaluation data must be analysed to ensure that the programme can be updated and modified. The authors also state that programme evaluation is important for future services because:

- EAP practitioners can develop specialised client centred services
- EAP practitioners can offer a widening variety of services utilising specialised professionals to add value to programmes
- Multifaceted programmes depend on constant monitoring and evaluation

#### **4.29.4 Conclusions**

Only a small number of EAP practitioners evaluate the appropriateness of EAP operational activities.

### **5. SUMMARY OF QUANTITATIVE RESULTS**

The researcher believes that the defining question in the questionnaire submitted to all HCCs in the DCS is question 10, which requires the respondents to supply an answer whether they have sufficient EAP practitioners in their management areas. One hundred and twenty three (89.1%) of the respondents indicated that there were insufficient EAP practitioners in their management areas. Only 10.1% indicated that there are sufficient EAP practitioners in their management areas. As indicated earlier in this chapter, the researcher is of the opinion that the response to the question “Do the EAP professionals in your Management Area evaluate the appropriateness of EAP operational activities” is crucial in terms of this study. At the time of administering the questionnaires there were only 18 EAP practitioners left in the DCS. An overwhelming majority of HCCs indicated that this signified an insufficient quotient of EAP practitioners within the management areas. This response is further endorsed by the qualitative responses to this question where HCCs raised concerns about the insufficient number of EAP practitioners in the DCS. The researcher believes that the responses to all the questions were influenced by the fact that no EAP practitioners were operational in the majority of management areas. The researcher is also of the opinion that

respondents only answered positively when there was an EAP in that particular management area. The 18 EAP practitioners serviced only those correctional centres in their close proximity out of 230 correctional centres. This would mean that the majority of correctional centres could not be serviced by the EAP practitioners resulting in the negative responses by HCCs.

## **6. ANALYSIS OF QUALITATIVE DATA**

Gibbs (2007: 5) indicates that in the nomothetic approach to qualitative data analysis, the approach tries to show the commonality between people, events and settings and to explain them in terms of these common features. He also states that it is important to represent the views of participants and respondents as accurately as possible.

The questionnaires also contained sections where respondents were asked to motivate their answers. This qualitative response was analysed in this section. The researcher did not change the responses of the interviewees in any way and presented them as they were written in the questionnaires.

Ritchie (2003: 199) refers to the analysis of qualitative research as a challenging and exciting stage requiring a mix of creativity and systematic searching, a blend of inspiration as well as dogged detection. He also states that data reduction can be analytically categorised to subsume data under a wider array of possibilities. Ritchie (2003: 220) also indicates that a thematic framework should be used to classify and organise data into key themes, concepts and emerging categories. He goes on to say that data management may involve identifying themes, tagging the data, sorting the data and summarising or synthesising the verbatim data.



Creswell (2007: 39-40) indicates that we conduct qualitative research:

- when there is a problem to be explored
- to obtain a detailed understanding of the issue
- when we want individuals to share their stories
- when we want to understand the setting in which respondents address an issue

Creswell (2007: 148) states that data should be prepared and organised through a process of coding and then presented in figures, tables or a discussion. He also indicates that several general themes can be identified with sub-themes.

Willis (2007: 287) indicates that the process of data analysis and interpretation can be confusing. It may be difficult to get the right answer because there may be many right answers. It is also necessary to arrange the data in a way that is meaningful.

Gibbs (2007: 38) states that coding of data is necessary as it enables the researcher to index or categorise the text to establish a framework of thematic ideas. Responses can be counted and this can assist in the interpretation. There are many areas that can be coded and these may include:

- Specific acts or **behaviours** – what people do or say, opinions.
- States/**constraints** – general conditions experienced or found in organisations – apathy, resignation, and demotivation.
- Meaning – their **feelings**, blame, norms and values, Gibbs (2007: 47-48).

The researcher realises that colour coding the responses will certainly assist in deciphering the interpretation and has therefore decided to code all the responses that required the respondents to motivate their answers. Only questions 10, 18, 23 and 31 require respondents to motivate their answers. All responses to the above questions have been provided and

the researcher believes that it presents a better picture of the respondents' answers. It has also become obvious to the researcher that there may be more than one response to a particular question and the researcher has coded such responses as well. The researcher used the above areas to colour code the information presented in the questionnaires as follows:

- Specific acts or behaviours / statements
- States – general conditions experienced or found in the DCS
- Meaning – blame, norms and values of respondents.

### 6.1 Question 10

<p><b>10. Does your Management Area have an appropriate number of EAP professionals available to achieve the stated goals and objectives of the programme?</b></p> <p><b>10.1 Please motivate your answer</b></p> <p><b>All the comments listed below have not been altered in any way.</b></p>
<p>♦ The EAP professionals are employed and resign within no time in our area. Therefore they leave the management without any knowledge. As they are employed and resign, timeously it takes also to four years to have one and leave again without any achievements to show case the members.</p>
<p>♦ No EAP office in place as well no qualified EAP professionals.</p>
<p>♦ For almost four years there has been no EAP in our management area, whereas, there are critical situations that need such services. No EAP practitioner yet been appointed in our management area, to achieve the aims and objectives of the programme.</p>
<p>♦ No EAP practitioner in place currently.</p>
<p>♦ EAP is really needed in the DCS environment; therefore something must</p>

<p>be done to introduce its services.</p>
<ul style="list-style-type: none"> <li>◆ There is no EAP practitioner in the management area.</li> </ul>
<ul style="list-style-type: none"> <li>◆ No EAP practitioner</li> </ul>
<ul style="list-style-type: none"> <li>◆ We are not having any professional EAP in our centre/area. There is a need for EA programmes for our staff members.</li> </ul>
<ul style="list-style-type: none"> <li>◆ No EAP appointed.</li> </ul>
<ul style="list-style-type: none"> <li>◆ In our management are there is not even a single EAP practitioner employed there are the goals and objectives of this programme are not achieved.</li> </ul>
<ul style="list-style-type: none"> <li>◆ Just to tick “NO” because nothing I can say about something which does not exist.</li> </ul>
<ul style="list-style-type: none"> <li>◆ SADA management area does not have an EAP; we obtain the services of an EAP from another Management area.</li> </ul>
<ul style="list-style-type: none"> <li>◆ Only one EAP in the whole management area of which she has overloaded and cannot manage alone.</li> </ul>
<ul style="list-style-type: none"> <li>◆ Our management area is big the EAP, we have is one and the EAP services are utilized by the management area beyond.</li> </ul>
<ul style="list-style-type: none"> <li>◆ There is no EAP at this management area.</li> </ul>
<ul style="list-style-type: none"> <li>◆ NO EAP at all in this management area.</li> </ul>
<ul style="list-style-type: none"> <li>◆ No EAP in this management area.</li> </ul>
<ul style="list-style-type: none"> <li>◆ Available for the whole management area and the management consists of (12) twelve centres which is far away from each other. At least this management area need may be (3) three conditional EAPs so that they</li> </ul>

can be accessible to the majority of our members.
♦ There are no EAP officials in my management area, even in regional office there are none.
♦ There are several EAP practitioners but they are not enough.
♦ We definitely need more EAP practitioners.
♦ We should have an EAP in every Management Area.
♦ The EAP practitioners are not replaced when they resign.
♦ We do not have enough but they do a very good job in our Management Area.
♦ There is only one EAP for the whole management area.
♦ Only one due to a shortage of Social workers.
♦ The EAP has just been appointed and he is to serve 6 (six) Centres.
♦ No EAP, this management area. Rely on other management areas for assistance.
♦ Over 900 officials in area one EAP can not address all officials' problems if correct referrals are in place.
♦ There is only one EAP that renders services to the whole Area, and some members are not aware of EAP services, so it needs to be marketed.
♦ We only have one EAP Practitioner for about 400 employees. That is not appropriate. The EAP also involved in other Ad-hoc tasks.
♦ One EAP per area, worked good previously.
♦ No EAP functioning in this management area.
♦ Just one EAP not clear to all officials that they can make use of the



service. Not really assisting in workload situation. Conflict handling etc.
♦ There is no column to indicate where “I don’t know”.
♦ There is no EAP in our management area.
♦ Not even one EAP available.
♦ No EAP for the past two years.
♦ It is difficult for me to answer some of these questions because other information is new and unknown to me. I wish you can access this information to employers below the level of assistant director e.g Correctional Officer Grade III.
♦ No EAP available even those who were employed, resign immediately because payment of R15 700 is little to make a living in the department. The EAP is needed but it is a close book to many in DCS.
♦ No EAP available.
♦ There is no EAP in our management area, therefore EAPs must be employed within the management area.
♦ Management area has never had an EAP. We always encounter problems of officials need assistance of EAP and have to be referred to other management areas having such services of EAP.
♦ There is no EAP professional at all. Each time we have a problem that needs referral to the services of the EAP, we have to rely on other management area for help and they also complain that she/he is fully booked and cannot cover all the other areas.
♦ No EAP in the management area.
♦ Only one EAP in the management area.



◆	There is only one EAP who is also Asian and majority of members are African, this is a problem.
◆	We are in need of their service. They were here but just disappeared.
◆	The EAP professionals are employed and resign within no time in our area. Therefore, they leave the management without any knowledge. As they are employed and resign timeously it takes also to four years to have one and leave again without any achievement to show case the members.
◆	No EAP office in place and also no qualified EAP professionals.
◆	No EAP in place currently.
◆	For almost four years there has been no EAP in our management area, whereas, there are critical situations that need such service. No EAP professional has yet been appointed in our management area, to the aims and objectives of the programme.
◆	No EAP available.
◆	Currently this management area does not have an EAP professional.
◆	No EAP available at this management area.
◆	We rely on another management's EAP because we do not have our own EAP.
◆	No EAP official.
◆	Polokwane management area is small and one EAP manages effectively.
◆	Management area depends in Polokwane's EAP.
◆	We don't have EAP in the management area therefore we can not achieve any stated goal and objectives of the programme.

### **6.1.1 Discussion of data**

The first theme (what people do or say, opinions) that can be identified has been presented by the majority of respondents 22.5% (31) who indicated that no EAP Practitioners were employed within their Management Areas. Respondents also indicated that a need existed for an appropriate number of EAP practitioners in every management area. Reasons for not retaining EAP practitioners as well as possible solutions to inspire occupational permanence exemplified the second theme, namely general conditions experienced or found in organisations: apathy, resignation, and demotivation. Participants also indicated that EAP practitioners do not remain in the DCS because of poor remuneration, an aspect linked to the third theme influenced by their opinions, perceptions, norms and values.

### **6.1.2 Conclusions**

Management Areas do not have an appropriate number of EAP professionals available to achieve the stated goals and objectives of the programme.

### **6.1.3 Recommendations**

STANDARD (8)

An appropriate number and suitably qualified EAP professionals should be available to achieve the stated goals and objectives of the programme, EAPA SA (2005:14).

- Develop a retention strategy for the EAP
- Revise the remuneration structures for the EAP, EAPA SA (2005:25).

6.2 Question 18

18. Does the EAP in your Management Area offer responsive intervention services for employees, family members and the organization in crisis situations?

All the comments listed below have not been altered in any way.

- ♦ Ever since the introduction of EAP in this organization, there was never be an appropriate number in this management area except one EAP.
- ♦ Serious personal problems affect the daily business of Correctional Services very greatly.
- ♦ There is need for EAP intervention.
- ♦ The changes as a result of the transitional period, imposed critical negative impact on some of the individuals, groups as well as the organization.
- ♦ DCS is really in a crisis with the absence of EAP.
- ♦ No EAP in the management area.
- ♦ No EAP practitioner at Kirkwood.
- ♦ Since 2002 this management area does not appoint or did not make use of the services as outlined in the questionnaire. This services and policy does not reach this office and it is something new to me as H.C.C.
- ♦ There is no EAP in our area and there is a need for the intervention of EAP for our member, family and organization crises.
- ♦ No EAP in management area.
- ♦ Since we don't have EAP in our management area other problems probably minor cases are referred to the social workers or professional nurses.





♦ The answers given to questions 13 and 16 are not certain; there is no option for “I don’t know”.
♦ No EAP in our centre.
♦ There is no EAP at this management area.
♦ We need one to be employed to help and assist officials.
♦ Yes the EAP offers responsive interventions services for employees only when requested to do so by the management. She is not always available to the members to determine their problems and assists them. She only responds when she is called by the management.
♦ No EAP professional available.
♦ The EAP helps the families as well as the members.
♦ Yes, they assist all of us including when we have problems with our families.
♦ They have even helped members of the community in an adjacent management area.
♦ They also help when there are problems in the Correctional Centres with members.
♦ Not known at this state.
♦ We don't have an EAP.
♦ Only one EAP official for 848 officials for the entire management area.
♦ That EAP Committee should be introduced immediately.
♦ There is no EAP in our management area.
♦ I could not answer the questions that I am not sure about them. Some of



<p>your questions are mainly directed to the Directors.</p>
<p>♦ No EAP available.</p>
<p>♦ All could not happen if the EAP is not available.</p>
<p>♦ Our organization is in crisis as is in need of EAP to help officials in need of their services.</p>
<p>♦ Same as stated herein above. As a result all the other problems relating to the EAP do not received the desirable attention.</p>
<p>♦ Management area does not have EAP.</p>
<p>♦ Ever since the introduction of EAP in this organization, there was never be an appropriate number in this management area except one EAP.</p>
<p>♦ Serious personal problems affect the daily business of Correctional Services very greatly.</p>
<p>♦ There is a need for EAP intervention.</p>
<p>♦ The changes as a result of the transitional period, imposes critical negative impact on some of the individuals, groups as well as the organisation.</p>
<p>♦ It is much difficult to answer properly on questions because our management area does not have any EAP.</p>
<p>♦ The mere fact that this area has no EAP it is a great crisis.</p>
<p>♦ Currently these services are not in place, because we do not have an EAP.</p>
<p>♦ No EAP available.</p>
<p>♦ The intervention services are not timeous because the EAP has to be “borrowed” from another management area. A lot of problems remain</p>

unattended.

- ♦ **No EAP official.** There is no proper plan put in place to address those problems **as there is no EAP.**

### 6.2.1 Discussion of data

Respondents found it difficult to answer the question because of the unavailability of EAP practitioners in many management areas. Only 30.43% (42) respondents answered this question. Sixteen (16) respondents indicated that no EAP Practitioners were employed in their management area, a phenomena linked to the second theme – (states / constraints – general conditions experienced or found in organisations – apathy, resignation, and demotivation). Individual respondents indicated a need for EAP services, which emphasised the second theme (specific acts or behaviours – what people do or say, opinions). The third theme (meaning – their feelings, blame, norms and values) indicated in the statement by respondents – that EAPs were available and provided the necessary services.

### 6.2.2 Conclusions

In the majority of management areas the EAP failed to offer responsive intervention services to assist employees, their family members and the organization in crisis situations. .

### 6.2.3 Recommendations

STANDARD (8)

An appropriate number and suitably qualified EAP professionals should be available if the stated goals and objectives of the programme are to be achieved, EAPA SA (2005:14).

STANDARD (15)

The EAP would offer responsive intervention services for employees, their family members and the organization in crisis situations, EAPA SA (2005:18).

- Determine the number of EAP practitioners required in relation to distances they would need to travel as well as management areas they would serve.
- Appoint EAP practitioners within all Management Areas.

### 6.3 Question 23

<p><b>23. In your Management Area does the EAP professional consult with the organization when developments and events, such as retrenchments or restructuring, impact on employee well-being and fall within the EAP and the EAP professional's area of expertise</b></p> <p><b>All the comments listed below have not been altered in any way.</b></p>
<p>♦ <b>No EAP practitioner at our Management Area.</b></p>
<p>♦ <b>No EAP practitioner no questions can be positive</b></p>
<p>♦ <b>The last one I know of was at another Management Area.</b></p>
<p>♦ <b>There is no EAP at this management area.</b></p>
<p>♦ <b>Yes EAP consults with organization when she is informed by the employee about the problem, but in most cases EAP only intervene on request.</b></p>
<p>♦ <b>Referrals are done to external role players</b></p>
<p>♦ <b>The EAP follows all cases.</b></p>
<p>♦ <b>All those who are referred to people outside are asked for reports.</b></p>



♦	The EAP practitioners help us to get back to our jobs as well as with difficult supervisors.
♦	Some of the things are not done due to the fact that the EAP only started from 1 <sup>st</sup> July 2007.
♦	The EAP has just been appointed, she has not yet started with many activities
♦	No EAP in the management Area .
♦	Marketing of EAP services still needs more attention in order for DCS officials to have a better knowledge of about EAP awards
♦	I do not have information regarding the responsibilities and implementation plan of the EAP
♦	No EAP in our management.
♦	No EAP available at management area.
♦	No EAP
♦	We always get reports from those we are sent to outside.
♦	On EAP services we rely on other areas which are ineffective.
♦	The absence of a full time EAP impacts negatively on all programs.
♦	No EAP official
♦	It is important that the identified personnel who are getting on pension be timeously prepared about the management of monies.
♦	Those activities are not taking place because there is no EAP.

### **6.3.1 Discussion of data**

Respondents found it difficult to answer the question because of the unavailability of EAP practitioners in many management areas; the question is linked to theme two (states/ constraints – general conditions experienced or found in organisations – apathy, resignation, and demotivation.) Several of the respondents indicated that no EAP practitioners were employed within their management areas. Respondents who answered the question in the affirmative indicated that the EAP practitioners only provided limited consultancy – linked to theme three (meaning – their feelings, blame, norms and values.)

### **6.3.2 Conclusions**

Due to the fact that an inadequate number of EAP practitioners are in the employ of the DCS consultation with the organization when developments and events, such as retrenchments or restructuring, impact on employee well-being could prove challenging if these issues do not fall within the EAP professional's area of expertise.

### **6.3.3 Recommendations**

#### **STANDARD (8)**

An appropriate number and suitably qualified EAP professionals should be available to achieve the stated goals and objectives of the programme, EAPA SA (2005:14).

#### **STANDARD (20)**

The EAP professional would consult with the organization when developments and events, such as retrenchments or mergers, impact on employee well-being and fall within the EAP and the EAP professional's area of expertise, EAPA SA (2005:24).

6.4 Question 31

31. In your Management Area do the EAP professionals evaluate the appropriateness of EAP operational activities?

All the comments listed below have not been altered in any way.

- ◆ We are in need of their service. They were here but just disappear.
- ◆ This institution is having a serious problem with regard to non-existence of EAP. Member need to be assisted in terms of dealing with personal, family and organizational problems. Your urgent intervention in this regard will be highly appreciated.
- ◆ If the EAP professionals can be employed and stay may be their duties can be understood by personnel and proper records for reference purposes can also assist to understand the concept otherwise we refer their duties to the available social workers, preferable this must be phased out and these services transferred to the social workers as it seems their duty is occasional that is why they result to resign from the department.
- ◆ Currently there is no EAP qualified professionals available in our management area and there is definitely a need for EAP professionals.
- ◆ The urgent appointment of EAP professional could come to the rescue of the situation. The escalating demotivation and stress on the correctional officials impose a negative impact on their level of performance, which at the end of the day result in non-compliance.
- ◆ The area does not have EAP. We are having staff that need the services of the person, but unfortunately do not get help. They go outside to get therapy, and at times it is difficult to make follow-up on the officials progress. The area had EAP, but is gone. Reasons were amongst other; Salaries. The area is desperately in need of the therapist.



- ◆ **DCS must do something to reintroduce the services of EAP.**
- ◆ Since members need the assistance of such services, therefore it is a matter of urgency that these source skills have to be employed. Management will also appreciate these service members who make use of alcohol and other related toxic drugs will now referred to these practitioners instead of let them go do whatever they like. **Please employ these EAP and may be the moral of members can be uplifted.**
- ◆ The EAP should provide regular training for managers and staff in the management area.
- ◆ **In our area we are not having an EAP** and there is a need for EA programmes for our members. The intervention of EAP is very important to address the family, members, problems as well as organizational crisis.
- ◆ **No EAP appointed for our management area.**
- ◆ The EA programme is very important and essential in an organization like Department of Correctional Services whereby **staff members are exposed in stressful situations in their daily work performance specifically those working in Correctional Centre level.** DCS should consider EAP practitioner as essential service required for staff members, **and should ensure that these professionals are employed in all management areas and strategies to attract them to the Department and to keep them in a place such as employing them in higher level and with better salary package.**
- ◆ Instead of commenting I can just suggest that our management area may have at least one EAP because **there is a need for such members and their problems with families and even at work.** Social workers and professional nurses can do but minimal according to their scope of



<p>practice. We really in need of one EAP may be if we do have members will not perform duties as they are doing now, absenting themselves without any reasons and even coming on duty drunk.</p>
<ul style="list-style-type: none"> <li>◆ There is no EAP in the management area.</li> </ul>
<ul style="list-style-type: none"> <li>◆ It is difficult to answer the questions since a short time the EAP arrived in our management area and at this moment the EAP is not around has gone for maternity leave so I can't answer all the questions.</li> </ul>
<ul style="list-style-type: none"> <li>◆ No EAP in our centre</li> </ul>
<ul style="list-style-type: none"> <li>◆ I simply answered only those that I know. We are not involved in her work we only attend the programmes given to us by her.</li> </ul>
<ul style="list-style-type: none"> <li>◆ This type of survey is very important to the organization in order to assess and evaluate the suitability of the employees in their work situation, most particularly after these dramatic changes that have positively and negatively affects people's or employees performance standard. Some employees seemed to be reluctant to shift from their legend of the past as they refuse to accept responsibility while they are also hard nut to crack to those who accept responsibility and that creates a stressful situation to those who are at leading positions.</li> </ul>
<ul style="list-style-type: none"> <li>◆ Our management area is in need of EAP practitioner, we have a few officials with problems that require the intervention of the EAP practitioner.</li> </ul>
<ul style="list-style-type: none"> <li>◆ Please take note that all the questions are "NO" due to the fact that the EAP position was vacant since 2003/12/31. Than it was filled on 2005/11/01, but vacant on 2005/11/04 to date. Entry salary level at DCS is too low = level 8. Other departments offer them level 9 car allowance. There is a need for an EAP. In view of all reasons supra it is recommended to review the salary package of EAP in order to keep them</li> </ul>



<p>within DCS.</p> <ul style="list-style-type: none"><li>◆ There is no EAP professional in our management area.</li></ul>
<ul style="list-style-type: none"><li>◆ There is a need for EAPs in my management area, because our area is one of the biggest management areas in the Eastern Cape Province. My centre only has at least two hundred and seventy (270) members which really some of them need the EAP services.</li></ul>
<ul style="list-style-type: none"><li>◆ The EAP for this management area resigned long time ago and ever since the vacancy was never filled.</li></ul>
<ul style="list-style-type: none"><li>◆ Shortage of EAP in my management area is identified as a serious urgent need. Presently in my centre some members are suffering from emotional and psych-social stress and due to the need for consultation are referred to social workers in the centre. It is advisable that the Department may make use of Head-hunting strategy including internal social workers to deal with the shortage and avoid losing members due to illnesses and other forms of stress experienced.</li></ul>
<ul style="list-style-type: none"><li>◆ I am writing as a Head of the Centre which is a Female Centre (Centre of Excellence). We do not have an EAP member at our area centre. I am of the opinion that it is of utmost importance to have such services at our area especially at our centre which is a Centre of Excellence. We are having members that are experiencing drinking problems (alcohol), financial problems, and marital problems and also some who are being off duty for long periods etc. In order for our Department to keep EAPs I would suggest that we need to look at their benefits especially their salaries to be competitive. I therefore fully support the idea of having EAPs as soon as possible.</li></ul>
<ul style="list-style-type: none"><li>◆ Questions 27 and 31 are not answered due to the fact that the EAP practitioner is not available at work to inform me whether she doing or not</li></ul>



	doing activities that are mentioned there. I have tried to consult her but I could not get hold of her as she was on leave.
♦	There is a need for EAP professionals in DCS but we are none in our management area as well as in Regional office. Currently we are making use of external role players.
♦	Members were not orientated about EAP in our institution. The employees know nothing about EAP were never visited even the word "EAP" is new to them.
♦	The EAP provide a fantastic service for our families.
♦	There are not enough EAP practitioners in our Region.
♦	Our Management simply does not care for the members.
♦	The EAP is vital for our wellbeing but the regional office does not do enough to help us.
♦	The regional Head Corporate Services is only concerned with issues that he likes or people that he likes and does not support the EAP.
♦	We have only one EAP professional who is overworked as she is expected to deal with +/- 1000 officials alone.
♦	The EAP has just been appointed; she has not yet started with various activities.
♦	The EAP in our management area fairly new, in my view, still trying to get her footing right. Therefore there is not much that could be said about her, however, with regard to a case that she had been dealing with one cannot complain.
♦	No EAP in the management Area and as such we have to rely on other



management area. EAP is available on a request and will attend to our request if he/she is available and he is committed from his/her management area.

- ◆ The EAP available should be utilized optimally. EAP Committees should be introduced as prescribed. Policies and guidelines to EAP operations should be accessible. Management should ensure that EAP service are utilized to the best interest of employees and DCS
- ◆ EAP services are not known to members and are not accessible. The services need to be marketed to the members. Members should know which cases should be referred to the EAP and whether they can refer themselves or what.
- ◆ There is a need for an additional EAP professional
- ◆ Currently no EAP functioning in our management area to private practitioners. EAP in other management area
- ◆ Most of the questions are difficult to answer as I do not have enough information about the EAP
- ◆ There is a shortage of EAP officials; some resources are not up to date. Schedule of the available official is so tight-up, is difficult to can provide or deliver services at ease.
- ◆ It is better that EAP can provide our members with training
- ◆ In our management area there is no EAP professionals those we had resigned. It is therefore very difficult to answer the questions.
- ◆ Please be advised that officials are in need of the EAP as they are having a lot of personal problems that even affects their work environment. An immediate attention is needed.



- ◆ No comments because there is no EAP available and no attempt made by A/C to advertise the EAP posts
- ◆ No EAP available. This is a great concern as such services are needed as I believe that disciplinary procedures are not the only remedy to solve problems when dealing with staff.
- ◆ It is puzzling that we are expected to comment about the EAPs services yet we do not have one and for a year people are demanding that one should be employed and no one listens.
- ◆ The main problem is that there has been no EAP for the past 1 or 2 years in this management area.
- ◆ There is no EAP available within the whole management area.
- ◆ DCS must have to try by all means to employ EAP professionals in each management area and in bigger centres such as Westville, Pietermaritzburg, Empangeni, to each centre as there are mainly officials who are in urgent need of the services or EAP and their salaries must also be revised in order to prevent them from being resigning and accept appointments to other departments or private organization.
- ◆ Most answers in this questionnaire have been in the negative simple, because in our management area there is no EAP professional available. In the circumstances it becomes extremely difficult to respond to questions relating to the services of the EAP when we have now at our disposal. While the services of the EAP may prove to be vulnerable to the members and their immediate families. This dream is far from being realized in remote management areas such as ours. We hope, however that with the passage of time our lot will improve and we shall be able to attract these professionals in the future.



- ♦ I feel correct placement is vital; placing an Asian EAP in a black dominated area to me is a bit awkward. I think it is important to consider needs of the people.
- ♦ This type of survey is very important to the organization in order to assess and evaluate the suitability of the employees in their work situation, most particularly after these dramatic changes that have positively and negatively affects people's or employees performance standard. Some employees seemed to be reluctant to shift from their legend of the post as they refuse to accept responsibility while they are also hard nut to crack to those who accept responsibility and that creates a stressful situation to those who are at leading positions.
- ♦ There has been information concerning EAP discriminated to the exiles.
- ♦ This institution is having a serious problem with regard to non-existence of EAP. Member need to be assisted in terms of dealing with personal, family and organizational problems. Your urgent intervention in this regard will be highly appreciated.
- ♦ If the EAP professionals can be employed and stay maybe their duties can be understood by personnel and proper records for reference purposes can also assist to understand the concept otherwise we refer their duties to the available social workers. Preferable this must be phased out and these services transferred to the social workers as it seems their duty is occasional that is why they result to resign from the department.
- ♦ Currently there is no qualified EAP professional available in our management area and there is definitely a need for EAP professionals.
- ♦ The area does not have EAP. We are having staff that need the services of the person, but unfortunately do not get help. They go outside to get

<p>therapy, and at times it is difficult to make follow-up on the officials progress. The area had EAP, but is gone. Reasons were amongst others: salaries. The area is desperately in need of the therapist.</p>
<ul style="list-style-type: none"> <li>◆ It was not easy to respond to most of the questions e.g. questions 9-31 because almost all the questions were related to the availability of the EAP in the management area therefore it was difficult to respond to the questions because <b>currently we do not have an EAP in our management area.</b> When attending to other questions one was confuse not knowing what to say “Yes or No” because the question is asking directly about EAP professionals of which does not exist in our management area.</li> </ul>
<ul style="list-style-type: none"> <li>◆ Nothing mere than already mentioned.</li> </ul>
<ul style="list-style-type: none"> <li>◆ <b>It is difficult to answer these questions, due to the fact that we do not have an EAP professional.</b></li> </ul>
<ul style="list-style-type: none"> <li>◆ <b>The responses provided may seem contradictory mainly because there is no EAP at present.</b> It would be appreciated if the Department can consider placing an EAP at each Correctional Centre to address official's problems and challenges. Many a time, when the EAP finally arrives, it is already too late for professional assistance. The stress level that Correctional officials have deal with on daily basis, requires that an EAP be handy at all times. The EAP should also be well marketed to ensure that officials are conversant with the roles and boundaries of the EAP.</li> </ul>
<ul style="list-style-type: none"> <li>◆ <b>In this management area there is no EAP at all.</b> There is a need of the person of this calibre as people need his/her professional work.</li> </ul>
<ul style="list-style-type: none"> <li>◆ <b>No EAP official.</b></li> </ul>
<ul style="list-style-type: none"> <li>◆ The post level of the EAP should be revised to enhance trust at all level from ASD to Director. It has been identified that only two EAP against</li> </ul>

nine management area under LMN Region would impose a concern since we are working at an effective improved of wellbeing of members. It is therefore imperative that a retention strategy be formulated as a matter of urgent. DCS should take the welfare of its officials seriously.

- ◆ There is a crisis in our management area because there is no EAP. We only rely on the EAP from Polokwane management area. It took some months for him to come and assist us when there is a problem. There is no proper ways to help our officials who need the assistance of EAP.

#### 6.4.1 Discussion of data

Respondents found it difficult to answer the question because of the unavailability of EAP practitioners in many management areas (Theme one - specific acts or behaviours – what people do or say, opinions.) While respondents agreed that an urgent need exists to employ EAP practitioners, they seemed frustrated at the slow pace EAP practitioners were being recruited (theme three meaning – their feelings, blame, norms and values). Respondents reflected on the poor salaries that EAP practitioners received in the DCS and indicated that this could be the main reason why EAP practitioners tended to move to other departments (theme two - states/constraints – general conditions experienced or found in organisations – apathy, resignation, and demotivation).

#### 6.4.2 Conclusions

EAP professionals do not evaluate the appropriateness of EAP operational activities.

#### 6.4.3 Recommendations

STANDARD (27)



EAP professionals evaluate the appropriateness, cost effectiveness and efficiency of EAP operational activities, EAPA SA (2005:30).

The Department may make use of the head-hunting strategy including the utilisation of internal social workers to deal with the shortage of EAP practitioners

- Advertise all financed posts as soon as they become vacant.
- Develop a proper retention strategy as well as a career path for the EAP.

## **7. SUMMARY OF QUALITATIVE RESULTS**

The Qualitative data gives us a strong indication of what the conditions are within the Correctional Services environment in relation to the implementation of the Employee Assistance Programme. The data collected also presents a picture of the relevance correctional officials attach to the EAP. The data presented was coded, summarised and linked to respective standards thereby providing patterns, conclusions and reasons for the implementation or non-implementation of the EAP within the Management Areas. One specific theme that has emerged is the lack of practitioners in the different areas. Respondents reflected on the poor salaries that EAP practitioners receive in the DCS and that inadequate remuneration may be the main reason why EAP practitioners transferred to other departments in accordance with theme two - states/constraints – general conditions experienced or found in organisations – apathy, resignation, and demotivation. Participants indicated that EAP practitioners tended to resign from their post in the DCS because of poor salaries, which is linked to the third theme - their feelings, blame, norms and values.

## 8. ANALYSIS OF QUALITATIVE DATA FROM FOCUS GROUPS

As was explained in par. 8.1 of Chapter 1 of this report, data was also collected through means of the participation of the researcher in a series of Focus group discussions. The Focus group consisted of members of the Workgroup for EAPA-SA standards and as a sub-committee of the EAPA-SA Board. The inclusion of the revised standards occurred as the thesis was nearing completion and was not part of the initial plan. The focus group discussions, however, were planned and managed to add value to the standards document. The Implementation of the focus group discussion was an interactive process. Each focus group discussion built on the previous one. The researcher has been an integral part of the EAPA-SA standards revision committee. The committee, consisting of Professor Lourie Terblanche, Kelly Manzini, Radhi Vandayar, Thiloshni Govender, Godfrey Chabalala (convenor of the Committee) and the researcher, had been tasked with the process of revising the standards for South Africa. The research undertaken in this study as well as all the recommendations listed in this chapter were consolidated and used in the brainstorming exercise to facilitate the improvement of the standards during focus group discussions (FGD).

The FGD method was carried out by six persons guided by Godfrey Chabalala. Group members talked freely and spontaneously about ways to revise the EAPA SA standards document. A FGD is a qualitative method and its purpose is to obtain in-depth information on concepts, perceptions and ideas from the group. The FGD aimed to be more than a question-answer interaction. The idea was that group members would discuss the standards amongst themselves, with guidance from the facilitator.

“Focus group interviews or discussions are a research technique that collects data through group interaction on a topic determined by the

researcher. They are best suited to exploratory, formative, or process evaluation research. Both as a single method and in combination with other research methods such as individual interviews or surveys, focus group discussions are particularly useful where prior empirical evidence and resources are limited. Focus group discussions are applied widely across the social sciences, as well as in commercial market research and by public and non-profit organizations. Their application as an extension tool to facilitate needs assessment, increase awareness in programme development and evaluation, and to make possible change processes less common. Despite certain limitations, the focus group approach proved adequate for this dual research and extension project and the under-researched and underserved area of personnel management in small business,” (Bitsch, 2004: 461-469).

The numbering that follows has been adapted from the standards document. The original standards document has formed the basis for the revision. It should also be noted that changes were not made to all the standards. At the onset of the panel discussions it was decided to adapt the existing standards for South African conditions. The researcher believes that the Standards document is very well crafted and it lays out in detail the crucial elements of an EAP. The researcher also maintains that the standards assist EAP practitioners in their focus on dealing with the troubled employee to ensure that productivity is not compromised. The EAP Standards also assist the EAP practitioners to position themselves in an organisation to improve the functioning of the workplace. The standards also assist the EAP to ensure that quality EAP services are provided, that there is continuous quality improvement and that services are evaluated and monitored. The researcher is also of the opinion that the set of Standards are limited in that they do not focus as much on the proactive prevention of problems that hamper productivity. Oher

(1999:161) indicates that performance measures for benchmarking EAP practitioners can be selected against the following criteria:

- Tracking core activities of EAP work
- Calculating the impact
- Deriving information from process data that is readily available
- Standardisation
- Applicability to a wide variety of programmes

The researcher believes that the Standards can also serve the above purposes as well as assist EAP professionals in managing issues according to prescribed guidelines.

### SCHEDULE OF FOCUS GROUP DISCUSSIONS

DATE	MONTH	VENUE	TIME
11	March 2009	University Of Pretoria, <b>HSB 13-31</b>	14:00 – 17:00
09 – 10	June 2009	University Of Pretoria, <b>HSB 13-31</b>	09:00 – 17:00
30	July 2009	University Of Pretoria, <b>HSB 13-31</b>	09:00- 17:00
06 - 08	August 2009	University Of Pretoria, <b>HSB 13-31</b>	09:00 – 17:00
07	August 2009	University Of Pretoria, <b>HSB 13-31</b>	09:00 – 17:00
08	September 2009	University Of Pretoria, <b>HSB 13-31</b>	09:00 – 17:00



## REVIEW OF EAPA-SA STANDARDS: MARCH 2009 PROJECT LIFE- CYCLE

### STAGE 1

#### INPUTS GATHERING

- Invite Individual comments
- Desk top study
- Compile working documents for circulation

### STAGE 2

#### RESEARCH & INPUTS CONSOLIDATION THROUGH FOCUSED GROUP DISCUSSIONS

- Website Survey
- Comments by international experts
- Focussed group discussions at arranged meetings

### STAGE 3

#### EDITING AND PROOF READING

- Circulation of document amongst committee members
- Professional editing

### STAGE 4

#### PRINTING AND PUBLICATION

- Printing of Standards for use

### STAGE 5

#### FIRST LAUNCH OF THE STANDARDS

- Presentation of final draft at conference
- Focus discussions





EAPA-SA DETAIL OPERATIONAL PROJECT PLANNING 2009  
STAGE 1: INPUTS GATHERING

STRATEGIC GOAL	STRATEGIC OBJECTIVE	DELIVERABLES FOR THE OBJECTIVE	ACTIONS PER OBJECTIVE	RESPONSIBLE PERSON	MONITORING AND EVALUATION	TARGET DATE
Develop and provide EAPA-SA quality services and products	Provide EAPA-SA services and products to internal clients (Constitution, Standards and Ethics).	Review of EAPA-SA Standards (aligned with the current market expectation) by August 2009.	1. Distribution of student work/assignment to assist with Desk top study.	Prof. Terblanche	Assignments distributed	27/03/09
			2. Invite Individual comments on current standards	Chabalala T.G to circulate standards document	Standards circulated for comments	16-27/03/09
			3. Compile the working document and circulate it with set time lines	Task Team	Working document circulated	15/06 to 15/07 09
			4. Arrange with different Chapters to conduct standards review sessions.	Task Team		
			5. Seek sponsorship to fund the project.	Mr. Glen Blackadder	Availability of sponsorship	27/03/09
			6. Invite comments on the current standards from all 15 Service Providers.	Mr. Glen Blackadder	Invitation sent	10/03/09

STAGE 2: RESEARCH AND INPUTS CONSOLIDATION

STRATEGIC GOAL	STRATEGIC OBJECTIVE	DELIVERABLES FOR THE OBJECTIVE	ACTIONS PER OBJECTIVE	RESPONSIBLE PERSON	MONITORING AND EVALUATION	TARGET DATE
Develop and provide EAPA-SA quality services and products	Provide EAPA-SA services and products to internal clients (Constitution, Standards and Ethics).	Review of EAPA-SA Standards (aligned with the current market expectation) by August 2009.	1. Conduct Website Survey: <ul style="list-style-type: none"> <li>▪ Staffing ratio</li> <li>▪ Preventative Approach</li> <li>▪ Wellness</li> <li>▪ Wellness</li> <li>▪ Integration (OHS, Critical scene management, HIV and AIDS)</li> <li>▪ Positioning</li> </ul>	Prof. Terblanche & Thiloshni Govender	Survey results availability	04 May 2009



			2. Circulate working document to Chapters, industry experts and Service Providers	Chabalala T.G to circulate standards document	Working document circulated.	15 June- 15 July 2009
			3. Consolidation of inputs by all Board members	All Board members	Inputs consolidated	15 June 2009
			4. Seek comments from international experts	Prof. Terblanche	Available comments by experts.	15 July 2009
			5. Receiving final inputs	Task Team	Received inputs.	15 July 2009

### STAGE 3: EDITING AND PROOF READING

STRATEGIC GOAL	STRATEGIC OBJECTIVE	DELIVERABLES FOR THE OBJECTIVE	ACTIONS PER OBJECTIVE	RESPONSIBLE PERSON	MONITORING AND EVALUATION	TARGET DATE
Develop and provide EAPA-SA quality services and products	Provide EAPA-SA services and products to internal clients (Constitution, Standards and Ethics).	Review of EAPA-SA Standards (aligned with the current market expectation) by August 2009.	1. Convene Task Team meeting to consolidate all inputs	Chabalala T.G	Minutes and inputs by Task team meeting	27-28 July 2009
			2. Editing and proof reading the document	Editors	Standards edited.	07 August 2009

### STAGE 4: PRINTING AND PUBLICATION

STRATEGIC GOAL	STRATEGIC OBJECTIVE	DELIVERABLES FOR THE OBJECTIVE	ACTIONS PER OBJECTIVE	RESPONSIBLE PERSON	MONITORING AND EVALUATION	TARGET DATE
Develop and provide EAPA-SA quality services and products	Provide EAPA-SA services and products to internal clients (Constitution, Standards and Ethics).	Review of EAPA-SA Standards (aligned with the current market expectation) by August 2009.	1. Printing and Publication	Prof. Terblanche	Standards printed and available.	14 – 15 August 2009

### STAGE 5: LAUNCH OF THE STANDARDS

STRATEGIC GOAL	STRATEGIC OBJECTIVE	DELIVERABLES FOR THE OBJECTIVE	ACTIONS PER OBJECTIVE	RESPONSIBLE PERSON	MONITORING AND EVALUATION	TARGET DATE
Develop and provide	Provide EAPA-SA services and	Review of EAPA-SA Standards	1. Launching at the conference	Prof. Terblanche	Standards launched.	27 September 2009

EAPA-SA quality services and products	products to internal clients (Constitution, Standards and Ethics).	(aligned with the current market expectation) by August 2009.	2. Conduct parallel workshop stream at the conference	Chabalala T.G T. Govender	Workshop conducted.	27- 29 September 2009
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Resolutions of meeting:

- Combine all the Networking aspects in the document into one section
- Synchronise all the standards sections for making it accessible in EAPA-SA website so that delegates can gain access to the data before the conference to facilitate effective discussion.
- Prepare PowerPoint presentation on the revised standards and circulate to the entire Task Team members to facilitate preparation before the Annual conference.
- Development of Annexure to the standards
- Printing and publication of the standards will only take place after the conference.
- The revised standards were presented and final inputs and comments captured in the document.
- The parallel sessions on the 29<sup>th</sup> September 2009 at the conference should be brought to one room to allow for more discussions and other Task Team members to form part thereof.

**9. SUMMARY OF QUALITATIVE RESULTS FROM THE FOCUS GROUP DISCUSSIONS**

The results of the Focus group discussions are presented as the 3<sup>rd</sup> edition of the Standards for Employee Assistance Programmes in South Africa – by the EAPA South Africa Branch. See Annexure A to this report.



## **CHAPTER 6: SUMMARY, CONCLUSIONS AND RECOMMENDATIONS**

### **1. INTRODUCTION**

The EAP model, which has been in existence in the DCS since 2000, has not been formally evaluated according to the EAPA SA standards. The EAPA SA standards are the benchmark against which all EAPs in South Africa should be measured. The researcher decided to utilise this standard to determine whether the EAP in the DCS was functioning according to standard.

It has been stated in this research document that the work environment within the DCS is undergoing change; however, the downside of the transformation is that while employees are confronted with increasing challenges and demands to inspire improved efficiency, opportunities to exercise managerial control or support is lacking. Albeit, employee participation in the workplace has changed from diminished participation in the past to an active role and involvement in the workplace.

The role of workers within the DCS changed after the demilitarisation of the workplace along with the needs of the employees. The changing work environment placed different demands on employees as described in the Jali Commission report. The challenge for the DCS Employee Assistance Programme (EAP) is to meet both the changing needs of the workers parallel to the demands of the changing work environment, to establish a comfortable fit. The researcher decided to utilise a questionnaire based on EAPA SA standards to evaluate whether the DCS EAP was performing according to the benchmark set by the standards.

The study was conducted by targeting the Heads of Correctional Centres to complete the questionnaire. Personnel at The Department of Statistics at the University of Pretoria, under the leadership of Professor Smith and

Dr. Mike van der Linde, assisted with the data processing to achieve a quantitative analysis.

The following information in this chapter will include a consolidation of each chapter followed by conclusions and recommendations.

## **2. CHAPTER 1: GENERAL ORIENTATION TO THE STUDY**

### **2.1 Consolidation**

Chapter 1 provides a general orientation to the study as well as the researcher's rationale of and structure for the research. The following issues were highlighted in chapter 1:

- The global EAP perspective
- A South African EAP perspective
- The DCS EAP perspective
- Factors contributing to work stress in the DCS
- EAPA SA standards
- The motivation for the study
- Problem formulation
- Purpose goals as well as objectives for the study
- The research question, approach and type of research
- The research design as well as data collection
- Pilot study
- Ethical considerations as well as definitions of key concepts

The motivation for the study is based on the fact that the DCS needs to evaluate its EAP model as it has never been evaluated since inception in the late 1990's. The researcher therefore adhered to the EAPA SA standards to benchmark the EAP in the DCS in this study.

## 2.2 Conclusions

From chapter 1 it is clear that:

- limited research on the EAP within the broader Public Service and specifically on the EAP in the DCS has been undertaken to date; in addition, the establishment of the EAP in the DCS has been the forerunner for the establishment of EAPs in the broader Public Service in South Africa but not much of the information has been documented or explored.
- the decision to use both qualitative as well as quantitative research methods may have been too broad as the scope of work has been extensive. This aspect will be elaborated on in the section that discusses the limitations of the study. The decision to utilise both research methods was based on the need to document the establishment of the EAP in the DCS as well as benchmark the standards. This objective has been partially successful.
- this study can lay the foundation for the EAP profession especially in the evaluation of EAPs in South Africa using the EAPA SA standards as the benchmark. The data collected can also add value to the Social Work profession in which all the EAPs in the DCS have been practicing.
- the South African perspective, as contained in limited research, is marginally different from the international perspective owing to the impact HIV/Aids has had on the profession.
- this study can also benefit EAPA SA in revising the standards document.

## **2.3 Recommendations**

- Utilise the research findings to inform HR policies in the DCS.
- Utilise the research findings to revise the EAPA SA standards document.
- Conduct an extensive qualitative analysis of the development and implementation of the EAP in the DCS.

## **3 CHAPTER 2: LITERATURE REVIEW - THE EMPLOYEE ASSISTANCE PROGRAMME**

### **3.1 Consolidation**

This literature review epitomises a retrospective analysis of developments in the EAP industry by initially focussing on the most modern interventions and the origins as a subsequent focal point. The literature review also attempts to focus on existing standards associated with these interventions and benchmarks during the evolution of the EAP. This chapter also places the EAP in perspective according to national and international trends, which provides the context within which EAPs have developed both within South Africa and in other countries.

In this chapter, the researcher also discusses the value of the EAP especially in relation to behaviour risk management and the strategic positioning of the EAP in an organisation. The training of EAPs and their role in comprehensive wellness programmes are also highlighted. Occupational social work and its links to the EAP in countries such as the United States, Australia, Ireland, India and South Africa are explored. South African legislation is mentioned to provide the legal perspective in the country.

Different models of the EAP together with EAP core technology concluded the chapter.

### **3.2 Conclusions**

- There is a need for quantitative research on the effectiveness of EAPs in both the public and private sectors in South Africa.
- The EAPA SA standards are the benchmark for the EAP profession in South Africa but both qualitative as well as quantitative research is very limited and almost non-existent.
- The development of the EAP in South Africa has been influenced by the development of the EAP in the United States but has also evolved differently.

### **3.3 Recommendations**

- There is a need for more research on the EAP profession in South Africa because much of the research literature is from other countries.
- There is a need for magazines and journals to publish articles, interviews and case studies on EAP models as well as feedback from South African authors on the development of Standards. The researcher is of the opinion that media exposure is essential since the EAP field has evolved differently in South Africa compared to other countries.
- There is a definite need for more quantitative research on the EAP profession in South Africa.
- The role that HIV/Aids has played in the evolution of EAP in South Africa needs to be documented in the same way as occupational alcohol programmes have contributed to the development of the EAP in the United States.

#### **4. CHAPTER 3: DEVELOPMENT OF EAP IN DCS**

##### **4.1 Consolidation**

Chapter three focuses on the evaluation of the EAP in the DCS, which includes a systematic collection of information about that programme. The researcher focussed on collecting information on the conceptualisation and implementation of the DCS EA programme, with the intention of documenting how the programme was implemented.

The Jali and Barlow report, commissioned by the Minister of Correctional Services in South Africa, provided an insightful overview of problems experienced in three correctional centres as well as interactions with organised labour unions. Reference has also been made to a study conducted by the researcher in the DCS on how physical action and recreational activity plays a central part in life, much like sleeping. The aim of the study was to illustrate that sport and recreation can assist in creating a balance in work responsibilities by providing restorative refractory periods to facilitate reduced stress levels. This study successfully demonstrated that certain events and circumstances experienced in the workplace were major contributors to elevated stress levels. In addition, the study also identified the fact that the DCS already had excellent sporting facilities in place in most Management Areas and that these facilities were not being fully utilised by employees.

The implementation report for the EAP in DCS, as well as duties of EAPs, had been explored. Annual reports from the DCS were also analysed.

## 4.2 Conclusions

- The EA programme in the DCS has been implemented systematically.
- Although no benchmarks existed in the broader Public Service in the late 1990's, the DCS has been instrumental in developing processes and procedures through consultation and consensus.
- The DCS environment is a very stressful environment making the implementation of an EAP a necessity.
- Both organised labour and management are in agreement that the EAP is a vital resource.
- The progress in maintaining the EAP has been slow.
- Scant documented data on the EAP model is reflected in the DCS annual reports.

## 4.3 Recommendations

- Increase efforts to ensure that all Management Areas have a sufficient number of EAP practitioners in their employ.
- Consult regularly with employees and labour unions on the implementation of the EAP as well as their respective involvement in the utilization and development of the programme.
- Develop a strategic focus on stress alleviation in the DCS and ensure that all EAP practitioners are professionally trained to identify and manage this problem.
- Ensure that all EAP activities from inception to conclusion are reported in annual reports.

## 5. CHAPTER 4: EAPASA STANDARDS

### 5.1 Consolidation

In this chapter the researcher presented each standard as it appeared in the standards document and commented briefly on each standard. The standards were also reviewed in relation to recent published literature on

the subject. The implementation of these standards would also ensure sustainable uniformity in application in South Africa. It would also ensure that while the standards can be adapted and customised to the organisation, the foundation would be consistent.

## **5.2 Conclusions**

- The standards assist EAPs in their focus on dealing with the troubled employee to ensure that personal wellbeing and organizational productivity is not compromised.
- The EAP core technology (foundation for EAP) is also presented in the standards document.
- The EAP Standards will also assist the EAPs to position themselves in an organisation to improve the workplace functionality.
- The standards will also assist the EAP to ensure that quality EAP services are provided, that continuous quality improvement is ensued and that services are monitored and evaluated.

## **5.3 Recommendations**

- All organisations that have EAP services should utilise the EAPA SA standards as a benchmark.
- Organisations should use the standards to assess the quality of services provided.
- The standards should be used to monitor and evaluate EAP services.
- EAPA SA must monitor the implementation of the standards in organisations providing EAP services in South Africa.
- A standard on prevention should be included.
- The standards document should be revised regularly.
- Some of the standards must be revised and adapted to South African conditions.



## **6 CHAPTER 5: EMPIRICAL ANALYSIS**

### **6.1 Consolidation**

The analysis of the results should be viewed in the context of current circumstances in the Department of Correctional Services as well as the Public Service in South Africa. The researcher has indicated that in as much as the DCS is seen as a leader in public service in the Employee Health and Wellness field, progress has been extremely slow. EAP practitioners in the DCS have been leaders in the field in the Public Service making them prime targets for departments implementing the EAP for the first time. Eighteen (18) EAP practitioners had already resigned from their posts at the time when the questionnaire was completed; in general the reason for their resignation was stated as poor remuneration which motivated their acceptance of more lucrative offers within the Public Service. These resignations have seriously hampered service delivery on EA programmes and may have contributed to the large number of non-responses on the standards questionnaire.

Two hundred and thirty Heads of Correctional Centre positions in the DCS were identified, all of which were included in the study. However, only 198 positions were filled when the questionnaire was administered while the rest of the respondents were representative of employees acting in HCC positions. A total number of 138 HCC's responded by completing the questionnaires and submitting them to the researcher, indicating a response rate of 59.13%. The highest response was received from Gauteng (96.2%) while the lowest response came from the Western Cape (19.5%).

The quantitative analysis was followed by a qualitative analysis of the responses.

## 6.2 Conclusions

- Many of the EAP practitioners who had resigned had not been replaced at the time the questionnaire was administered.
- A large percentage of the respondents failed to answer the questions posed.
- Many indicated that their management areas did not have EAP practitioners and therefore could not respond to the questionnaire.
- Many of the standards in the EAPA SA standards document were not being adhered to by the DCS.

## 6.3 General Recommendations

- An appropriate number and suitably qualified EAP professionals should be available if the stated goals and objectives of the programme, EAPA SA (2005:14) are to be achieved.
- A retention strategy for the EAP should be developed.
- The remuneration structures for the EAP should be revised.
- EAP professionals would need to ensure the availability and use of promotional material and access to educational activities to encourage the application of the programme by supervisors, managers, union representatives, peers, employees and their family members, EAPA SA (2005:25).
- The number of EAPs required, in relation to distances they would have to travel as well as management areas they would serve, should be determined.
- EAP practitioners at all Management Areas should be appointed.
- The Department may use head-hunting as a strategy to recruit EAP practitioners as well as negotiating with internal social workers to take responsibility for relevant services in the absence of adequate EAPs on staff.
- All financed posts should be advertised as soon as they become vacant.

- A career path for appointed EAP practitioners should be developed.

#### **6.4 Recommendations on the advisory committee**

Advisory committees must be put in place in all Management Areas as indicated in the EAPA SA Standards document, which proposes that the advisory committee should consist of:

- Senior management;
- Human Resources;
- Medical departments;
- Occupational Health and Safety
- Finance department;
- Training and development;
- Safety and loss control;
- Union/Employee/worker representatives;
- Line management;
- Employee relations specialists; and
- EAP professional/professionals, EAPA SA (2005:8-9).

The EAP has to develop a relationship with a variety of stakeholders: labour, management, personnel, labour relations, medical personnel and others; Googins and Godfrey (1987: 164 -165) It is therefore recommended that all stakeholders, as indicated in the EAPA SA standards, as well as employee relations specialists and EAP professional/professionals be included in advisory committees.

#### **6.5 Recommendations on programme design**

The researcher agrees with Paul and Masi (2002: 13) who indicate that modern services can be evaluated by addressing the following needs:

- Individual services

- Group services
- Management consultation
- Web services
- Educational materials

The researcher also believes that programme design should be reviewed to cater for both organisational as well as employee needs.

### **6.6 Recommendations on the EAP model for service delivery**

It is recommended that EAPA SA considerations on the different models be communicated to all employees. They include:

- “An ‘in-house’ programme will operate with the staff of the employer
- An ‘outsourced’ programme operates with the staff of a service provider selected and contracted by the employer
- In a combination, certain services will be provided in-house (e.g. training) and other services (e.g. clinical/counselling) outsourced.”  
EAPA SA (2005:10-11)

### **6.7 Recommendations on the appropriateness of the model for service delivery**

- The recommendations are the same as for the above question.

### **6.8 Recommendations on the availability of the EAP policy**

The EAPA SA standards document is clear in its recommendations on policy provision, which indicates mandatory principles should be included in the EAP policy. The EAP Policy should make provision for matters such as:

- Employee and dependant access;

- Managing alcohol and other substance abuse, emotional, marital, family, financial, HIV/Aids and other related problems which may affect job performance, employee functioning and quality of life;
- Securing job status, which will not be jeopardized as a consequence of seeking EAP services, except where mandated by law;
- Specifying that employees who make use of an EAP are expected to adhere to the job performance requirements of the employer;
- Client/user records, which shall be kept strictly confidential to the extent provided for by law and/or regulation, and will not be noted in any official company record or in the employee's personnel file;
- Information derived from the EAP, which may only be released with the written permission of the employee, in response to legal requirements;
- Mandates as well as legislation, EAPA SA (2005:11-12).

#### **6.9 Recommendations on the accessibility of the EAP policy**

- The EAP policy must be marketed to facilitate instant identification and made available to all Management Areas so that the document is displayed in various work-site environments that focus on critical components of the EAP.

#### **6.10 Recommendations on the type of problem that may be addressed within the context of the EAP**

- It is recommended that a list of applicable problems that may be addressed by the EAP be included in the policy procedures.

### **6.11 Recommendations on policy statement guarantees**

- The DCS EAP policy statement provides guarantees, principles, and members' rights and responsibilities. However, there is a need to market the policy within the DCS.

### **6.12 Recommendations on the implementation plan**

- Special provision may be needed to facilitate programme implementation at Management Areas that are geographically distant from urban localities;
- The implementation plan should outline the actions and responsibilities of all stakeholders, resources required and deadlines (reporting to Head Office);
- The implementation plan should set objectives regarding utilization and number of referrals from risk groups, as well as type and nature of problems;
- The implementation plan should set objectives regarding management-/ supervisory- and union training;
- The implementation plan should consider the following: geographical location, organizational demographics and staffing depending on the service delivery model, EAPA SA (2005:12-13).
- The implementation plan should ensure that it includes a statement on Management commitment and support;
- The implementation plan should include a conceptual definition of the programme as well as programme design;
- The implementation plan should include:
  - Programme activation
  - Marketing and promotion
  - Staff selection

- Operations and administration
- The implementation plan should also include a monitoring and evaluation process.

### **6.13 Recommendations on the number of EAP professionals**

- Each Management Area should employ a resident EAP practitioner if it is to achieve the goals and objectives of the EAP;
- An appropriate level of administrative support staff must be assigned to the EAP.

### **6.14 Recommendations on the qualifications of the EAP**

The EAP should possess expertise in:

- Alcoholism and its treatment,
- Marriage and family counselling,
- General emotional problems,
- Other typical problems such as financial and legal problems,
- Basic interviewing skills,
- Counselling and case management skills because they are central to service delivery. Emener, Hutchison and Richard (2003:52).
- Knowledge of HIV/Aids mediation;
- All EAP staff must be registered with the South African Council for Social Work Professions.

### **6.15 Recommendations to pursue ongoing consultations for EAP professionals**

- It is necessary to have an experienced manager to co-ordinate the case management especially in a large organisation;
- Regular meetings of EAPs are necessary where case management can be discussed;
- Experienced case managers should mentor those who are less experienced.

### **6.16 Recommendations to put into operation a statement of confidentiality in the written policy**

The researcher was instrumental in crafting the EAP policy for the DCS. The DCS EAP policy includes specific mention of confidentiality as follows:

- The EAP practitioner protects the client's right to privacy with reference to both confidentiality and anonymity;
- Anonymity refers to non-disclosure of the identity of a client;
- Confidentiality refers to the private, non-disclosable nature of information obtained in the course of communication between a client and practitioner;
- The EAP practitioner provides effective professional service only when there is complete and unreserved communication between him/herself and his/her client;
- Whenever any limitation or exception exists to assume complete confidentiality (e.g., the obligation to report child abuse, etc.), the practitioner declares and explains the ethics of limitations of confidentiality before continuing in a professional relationship with the client;
- Any breach of confidentiality will be addressed through the DCS disciplinary code.



### **6.17 Recommendations on the keeping of proper records**

- Record keeping is essential to enable the EAP to provide important feedback to Management on client demographics, profile of problems presented for purposes of identifying trends to inform the planning of primary and secondary prevention programmes, to monitor utilization and referral sources as well as to defend litigations;
- Include guidelines on electronic record keeping versus a paper-based approach;
- The storing of confidential information should also be addressed.

### **6.18 Recommendations on professional liability insurance**

- Professional indemnity insurance should preferably be obtained via relevant statutory bodies.
- Premiums should be paid by employers, EAPA SA (2005:15).

### **6.19 Recommendations on the registration of EAP professionals**

- The researcher does not agree with respondents who indicated that the EA professionals are not registered with their respective statutory bodies. DCS EAP practitioners are in fact registered with their respective professional councils; it is a condition of service in the DCS. The researcher is of the opinion that respondents answered this question negatively because no EAP practitioners were employed in their Management Areas.

### **6.20 Recommendations on the offering of trauma debriefing services**

The researcher supports McAninch who defines the approach in planning an intervention in trauma debriefing to include:

- Target. Identifying those who need assistance

- Type. Determining the type of assistance needed
- Timing. Identifying when the assistance will be most appropriate
- Theme. Building the right trauma intervention package
- Teams. Determining the correct resources that will be needed, McAninch (2006: 16).

#### **6.21 Recommendations on the offering of intervention services in crisis situations**

- Fill all the EAP positions in all Management Areas.
- The EAP contracts with a local crisis line to provide after-hours coverage;
- The EAP establishes procedures for crisis intervention and communicates this to all employees ;
- The EAP prepares a step-by-step procedure guide identifying actions to be taken in a crisis situation by staff, management, and employee assistance professionals;
- The Wellness Centres manage the crisis management protocol for the DCS.

#### **6.22 Recommendations on assessments, plans of action and referrals**

- Utilise the assessment to identify, document and evaluate clients' strengths, difficulties and needs;
- Lay the groundwork for an executable plan of action;
- Base referrals on the unique needs of the client, as revealed through the assessment and supported by observation and documentation;
- Act as an advocate for clients to ensure they gain access to appropriate levels of care;

- Utilise the services of outside resources when needed, to facilitate the option of making referrals;

Ensure that identified problems are correctly assessed and located within the organization instead of being aimed at the client, so that clients are not inappropriately labelled as being in need of intervention, EAPA SA (2005:17).

### **6.23 Recommendations on assessments**

- The EA professional contracts with the employee or client for six to eight sessions as outlined in the EAP policy;
- The EA professional focuses on short-term intervention and referral;
- The EA professional's work ethic is solution-focused and not problem-focused;
- Constructive confrontation forms part of short-term intervention;
- The EA professional utilizes homework to provide the employee/client with practice for skills development;

The EAP professional should make use of consultation as an interactive means to communicate with the employee/client to assist him/her in acquiring new skills with regard to short-term intervention, EAPA SA (2005:18).

### **6.24 Recommendations on monitoring of referrals**

Monitor the process of referral to:

- Keep in check costs of treatment;
- Maintain regular contact with the client and service provider during the intervention period to ensure that the goals and objectives of the intervention plan are being met;

- Enable the EAP professional to give appropriate feedback to the referring manager/supervisor about the employee's progress;
- Monitor decrease of chemical dependency.

### **6.25 Recommendations on follow-up services**

Follow-up services should include:

- Plan of action to determine and convey the effectiveness of the programme;
- Credible indications that illustrate whether the employee is improving;
- Opportunities to provide feedback to the referring supervisor on compliance and progress;
- Opportunities to describe the gains made during therapy;
- Maintaining the therapeutic relationship until the client feels strong enough to take the next treatment step;
- Communication from the EAP to the work site to inform the organization about decisions concerning the employee's status at work;
- Checking if the employee who has been referred to longer term care has in fact been able to access that resource, Darick (1999:11).

### **6.26 Recommendations on EAP consultation to the organisation**

Cunningham (1994:169 – 188) elaborates on the concept of 'organizational assistance' as a special responsibility of the EAP towards the organization as a client and an extension of client service:

- Advocacy in relation to specific client needs – interventions designed to modify the attitudes or behaviours of significant others at the workplace that contribute to an employee's dysfunction or through mediation when interpersonal problems are an issue.

- Becoming a confidential source of information and guidance for those employers who are overwhelmed or perplexed by employee behaviour that they do not understand.
- Addressing work-related problems affecting a particular work group that impacts negatively on the overall performance of the work unit
- Critical incident debriefing
- Influencing organizational culture through direct intervention to bring about a change in attitude and opinion and to create a climate conducive to promoting the welfare of both the company and the individual client. This may include imparting relevant information and exploring educational efforts.
- Use of EAP specialist knowledge, expertise and experience to guide decision making processes and implementation of policy, especially those relevant to the health and welfare of employees.

#### **6.27 Recommendations on EAP training**

Ongoing training must be provided:

- To enhance the functioning of the EAP within the organization;
- To provide clarity to potential referring supervisors about their role in the assessment of poor performance and the referral process.
- Enhance Supervisors' ability to make appropriate referrals;
- Ensure the support for the EAP along with union representatives;
- To define the rationale of the EAP;
- To promote the EAP as a management support system;
- To clarify programme operation;
- To outline procedures for referring employees experiencing job performance problems;

- To communicate the positive impact the EAP may have on the organization, EAPA SA (2005:20-21).

## **6.28 Recommendations on networking**

The EAP in DCS should network with:

- Unions;
- Human resources/personnel departments;
- Benefits;
- Safety;
- Equity and Gender;
- Medical;
- Security;
- Risk management;
- Legal;
- Training;
- Organizational Development;
- Industrial relations;
- Public relations;
- Occupational Health and Safety;
- HIV/Aids;

Sport and Recreation, EAPA SA (2005:22).

## **6.29 Recommendations on the utilisation of cost effective health care services**

- An EAP manager must:
  - secure community information and referral directories,
  - maintain a list comprising names of private professionals,

- maintain lists comprising mental health centres and treatment programmes, record information on self-help centres, and provide services suited to the needs of EAP clients in the geographic areas served;
- An EAP professional should verify an external service provider's professional credentials (i.e. accreditation and registration with professional bodies);
- EAP staff should periodically visit area service providers to gather current information about facilities, available services, staffing and quality management, EAPA SA (2005:23).

### **6.30 Recommendations on the maintenance and upgrading of qualifications**

EAPs should ensure that they:

- Are members of EAPA;
- Regularly attend EAP related professional conferences or training programmes;
- Actively participate in EAP related professional organizations;
- Share information about new developments and technologies with others in the field, taking appropriate credit for original contributions and adhering to copyright guidelines for acknowledging the work of others;
- Become involved in professional organizations for personnel working in the EAP-related fields of human resources, risk management, training and organizational development, benefits and occupational health and safety, EAPA SA (2005:24).

### **6.31 Recommendations on the training for EAP practitioners**

- As per question 27 – paragraph 6.27.

### **6.32 Recommendations on the maintenance of contact with other EAP professionals**

- As per question 27– paragraph 6.27.

### **6.33 Recommendations on networking with external bodies**

- Identify external agencies that have a direct impact on EAP activities in order to ensure effective linkages;
- Set regular meetings between an EAP professional and representatives from different external agencies to identify areas to be addressed in order to enhance the EAP and to respond appropriately to comments and recommendations;
- Provide guidance to relevant individuals in the work organization regarding compliance with the policies and procedures of the organization and of the EAP;
- Consult with external agencies in areas related to EAP practice - such external bodies include regulatory, legislative, advocacy, financial, business and academic bodies;
- Network with EAPA SA, Social Work Council, EAP providers, National Departments as well as the private sector.

### **6.34 Recommendations on the evaluation of services**

A written evaluation plan, directly related to the programme's goals and objectives should be included in the programme design;

- Regular evaluation should be undertaken to determine if goals and objectives are being met;



- Gathered quantitative data on each client should be obtained for evaluation; data to be forwarded quarterly to Head Office for consolidation;
- Gathered qualitative data should be obtained on each client for evaluation;
- Feedback mechanisms should be incorporated into the evaluation and design of programme;
- Report on results of the ongoing evaluation should be issued on a monthly basis;
- A return on investment as well as impact evaluations should be prepared;
- Objectives should be specific, measurable, attainable, realistic and time-bound, EAPA SA (2005:25).

## 7. EVALUATION OF THE GOALS AND OBJECTIVES OF THE STUDY

- ***To explore and describe the goals and objectives, through a literature study, the factors influencing the establishment of EAP standards in South Africa.***
  - This objective has been accomplished as the researcher has provided an extensive literature review focusing on existing standards and benchmarks during the evolution of the EAP. The EAP has also been placed in perspective according to national and international trends. This provided the context within which EAPs have developed both within South Africa and in other countries.
  - Occupational social work and its links to the EAP in countries such as the United States, Australia, Ireland, India and South Africa are also explored.

- ***To explore, evaluate and describe the factors influencing the establishment of the EAP in the DCS.***
  - The objective to explore, evaluate and describe the factors influencing the establishment of the EAP in the DCS has been accomplished through a qualitative analysis of existing documentation from the DCS. The Jali and Barlow report, commissioned by the Minister of Correctional Services, was evaluated as it provided an insightful view of the problems experienced in three correctional centres as well as interactions with organised labour. There has also been a reference to a study conducted by the researcher in the DCS on how physical activity and recreation play a central part of in the wellbeing of individuals. This study has illustrated that certain events and conditions in the workplace are major contributing factors that create stress. The implementation report for the EAP model in DCS, including relevant duties of EAP professional, was explored. Annual Reports from the DCS were also analysed.
  
- ***To conduct research in the DCS in South Africa in order to evaluate the functioning of the DCS EAP according to the EAPA SA standards.***
  - This objective was realised in the development and completion of the standards questionnaire by Heads of Correctional Centres. One hundred and thirty eight (138) HCC's responded to the survey by filling in the questionnaires and submitting them to the researcher; this indicated a response rate of 69.69%. The greatest number of responses was received from Gauteng (96.2%) and the fewest responses were from the Western Cape (19.5%).

- ***To provide conclusions and recommendations on improving the functioning of the EAP in the DCS.***
  - This objective was accomplished in Chapter 6 where several recommendations were made on the improvement of working conditions of the EAP in the DCS. Some of the recommendations include developing a retention strategy, devising a career path for the EAP, advertising vacant posts as soon as they become vacant and reviewing the remuneration structure.
  
- ***To develop criteria for future evaluation of the EA programme in the DCS.***
  - This objective has been accomplished. The review of the standards document upon which all EAPs should be benchmarked has provided a firm foundation for the evaluation of the EAP in the DCS. The standards document also assisted the EAP model to ensure that quality EAP services are provided, that continuous quality improvement is maintained and that the services are continuously monitored and evaluated. The study has also shown that while there are generic standards for evaluating the EAP, work circumstances within the DCS are unique and should also incorporate diverse benchmarks to ensure that the EAP functions effectively. However, sustainability of the EAP in the DCS has come under scrutiny in this study indicating the need for timeous HR interventions to retain this valuable resource.
  
- ***To serve as a guideline for other EAPs***
  - This objective has been accomplished. The entire study is applicable as a comprehensive guideline for the establishment of EAPs in South Africa; the content is decisive from the initial

analysis of prevailing conditions in the DCS to covering the historical development of the EAP in the DCS, including job descriptions, ratios and working conditions. The study provides both a local and international historical overview, supported by the inclusion of perceptions of the discipline, as well as analyses, comments on each standard, and a breakdown of relevant documentation. The objective of the study is to assist other EAPs especially those who are considering establishing programmes in their departments. The researcher is of the opinion that a complete revision of the current standards document is essential to produce a good resource for other EAPs.

## 8. EVALUATION OF THE RESEARCH QUESTION

The following research questions were posed for this study:

- ***What are the processes that contributed to the development of the EAP within the DCS?***
  - This question was answered adequately and discussed in the first chapter where the entire study was placed in perspective. It was concretised in the chapter that dealt with the development of the EAP in the DCS with a focus on the Jali and Barlow report. Employees of Correctional Services are in accordance to their post and relevant duties subject to service conditions that are by and large not conducive to their personal wellbeing. High stress levels, in worse case scenarios culminate in employees committing suicide, is prevalent among personnel in a correctional system and can be attributed to the running of in-house operations of a correctional centre/security environment; examples of problematic behavioural challenges employees are required to relate to include the potential risk to personal safety due to the nature of some offenders, the existence of gangs;

threats to and intimidation of employees and their families; and the risk of exposure to communicable diseases during close interaction with offenders.

- ***How do the processes and standards of the EAP within the DCS compare with those set standards prescribed in the EAPA-SA Standards document?***

- This question was answered in the administration section of the questionnaire. The results of the analysis indicated that the DCS failed to comply with many of the standards as set out by EAPA SA. It was also found through this study that while the retention of EAP was considered a crucial aspect in maintaining the standards as set out by EAPA SA, this unfortunately had not been complied with in the DCS; this conclusion was qualified in the qualitative analysis of the questionnaire.

- ***How efficient is the DCS EAP with regard to the existence of each of those standards and the efficient functioning thereof?***

- The study has shown that the DCS EAPs where they exist are reasonably efficient in the implementation of the standards. However, the shortage of EAP practitioners paints a bleak picture with regards to efficiency. There are no EAP practitioners in the majority of management areas and therefore limited functioning in relation to the standards.

## **9. RECOMMENDATIONS FOR FURTHER RESEARCH**

- Implementation of EAPA SA standards in all National Departments in the Public Service – a qualitative analysis
- Implementation of EAPA SA standards in all National Departments in the Public Service – a quantitative analysis
- Implementation of EAPA SA standards in the private sector

- Revision of EAPA SA standards
- Integration of EAPA standards with wellness
- Development of wellness standards for South Africa
- The impact of not having adequate, suitably qualified EAPs to manage the EAP in an organisation

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