

**Implementation standards: Practices in South African Employee Assistance Programmes benchmarked against EAPA- SA Standards**

**by**

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## Declaration

### Declaration of own work

I, **Andiswa Petunia Lefakane**, declare that this research report titled ***Implementation standards: Practices in South African Employee Assistance Programmes benchmarked against EAPA-SA Standards*** is my own work, and that the report has not been previously submitted by me for a degree at any other university. I have given acknowledgement of all sources used in accordance with the University requirements.

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**Andiswa Lefakane**

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**Date**

## Acknowledgements

'To God be the glory, for great things He has done'

This is to the Lefakane clan: thank you Bakwena for cheering me up through this journey until the finish line, my dearest husband Thamie Harry Lefakane, and my gang Monedi, Aobakwe, and Onalerona.

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## **Abstract**

The EAPA-SA Standards document had been formulated by The Standards Committee of EAPA-SA for the first time in 1999. Two revised editions have been developed since. Even though the concept of standards originated in the USA, South Africa was one of the first countries to follow suit in creating a formal framework of practice for employee assistance practitioners.

The goal of this study was to explore the EAP practices of the members of EAPA-SA, benchmarked against the different EAPA-SA standards, as part of the projected third revision process. The project was conducted as part of a group research project launched by four students, registered for a master's programme in EAPs offered by the Department of Social Work and Criminology at the University of Pretoria. Each participating student focused on a particular category of standards under the supervision of Prof Lourie Terblanche who was previously President of EAPA-SA and the programme manager of the mentioned master's programme.

The researcher studied the category of "Implementation standards" which consisted of policy, standard operating procedures (SOPs), and the implementation plan. The findings of this study are truly reflective of the stage of application of these standards in the country, as the majority of responses were reasonably above the average percentile. This signifies the seriousness of the members in distinguishing themselves as professionals in practice. The evidence was witnessed and confirmed by the resounding responses of acknowledging the existence of policy in the workplace, followed by the confirmation of participation in the policy formulation. This behaviour indicates a grounded understanding of the mandates of the EAPA-SA standards as the policy sets the tone of the EAP in an organisation.

The acknowledgement of covering all categories of EAP standards during the development of SOPS by the members was another significant finding that gave evidence that the members are ensuring the implementation of a well-rounded EA programme.

The researcher also found that a great majority of these members had an implementation plan in place and that the plan covered all core technologies as prescribed by the Standards of EAPA-SA.

The findings also unearthed the policy; the SOPs and implementation plan were not just developed but the members followed through and revised all these sub-standards.

In summary, like any other growing profession there are still gaps that the researcher identified in the minority of responses such as the non-existence of policy, the lack of understanding of the difference between policy and SOPs, and the lack of existence of the implementation plan. Recommendations were made to the EAPA-SA Board in order to fill these gaps and to assist in updating the EAPA-SA standards.

***Key concepts:***

1. Employee Assistance Professionals Association of South Africa (EAPA-SA)
2. Standards Committee of EAPA-SA
3. Employee Assistance Programme (EAP)
4. Employee Assistance Professional
5. Employee Assistance Practitioner
6. Policy
7. Implementation
8. Standard Operations Procedures (SOPs)
9. Category of Standards
10. Core Technologies

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## CHAPTER 1

### 1.1 Introduction

Most analysts of employee assistance programmes (EAPs) comment that there are no universally accepted models of EAPs, and this shortcoming results in a diverse EAP practice.

In Britain and in South Africa, professional associations such as the British Association for Counseling (BAC) and the Employee Assistance Professionals Association of South Africa (EAPA-SA) are seeking to promote standards of professional conduct, and standards of practice and responsibility within the industrial or service sectors of EAPs (Berridge, Cooper & Highley-Marchington, 1997:49). The comments by the above authors denote that there are gaps in the standard ways of practice in the EAP field. Standards need to be reviewed from time to time in order to ensure correlation between practice and theory, and this is what this study seeks to achieve.

The effective implementation of an EAP is achieved through the creation of a legitimate framework for consistent application and clearly written policies which may ensure consistent application of the rules and regulations of the EAP (Standards Committee of EAPA-SA, 2010:6). The Employee Assistance Professionals Association expects that there will be an implementation plan which outlines the actions needed to establish and maintain a fully functioning EAP, together with the responsibilities and timeframes for their completion (UK EAPA Standards, 2000:30).

The EAPA also stresses in its standard guidelines the necessity of policies and procedures as a key element to quality assurance. An EAP without a policy and procedures can be compared to a house without a foundation (Maiden, 1999:6).

The following key concepts are deemed important and provide the focus of the study:

**Implementation** represents the conscious conversion of policy plans into reality; it is the follow-through component of the public policy-making process (Gerston, 2004:94).

A **standard** is the agreed level of best professional practice or a description of the ideal situation (Standards Committee of EAPA-SA, 2010:1). Dudden (2007:184) defines a standard as a unit that can be used as a model for example to be followed, such as a practice or a product which is widely recognised, employed or established by authority or by custom, especially because of its excellence, and is regarded as an acknowledged measure of comparison for quantitative or qualitative value.

Although the following concepts do not appear in the title of the study, they do form an integral part of the notion of “implementation” within the context of EAP:

- **A policy** is a set of rules that specifies the terms that must be used for eligibility, determining who is or who is not entitled to benefits or services, and specifies the general goals to be achieved (Chambers, 2000:24). The goal of the policy is to ensure that the mandates, principles, and focal areas of the EAP are fair, consistently applied, and balanced in order to safeguard the interest of the various stakeholders.
- **Benchmarking** is an ongoing systematic process for measuring and comparing the work processes of one organisation to those of another by bringing an external focus to internal activities and functions (Sybert, 2006:84).
- **Operational guidelines** are specific rules and procedures for the EAP practitioner regarding the core technologies and standards and their unique applications in each organisation, and that they are meant to provide an operational framework for the EAP (Standards Committee of EAPA-SA, 2010:6).

- **Implementation plan** is the described documented plan with actions and schedules that ensure the successful roll-out of the EAP (Standards Committee of EAPA-SA, 2010:7).

## **1.2 Literature review on the implementation of EAPs**

Literature will be used to determine whether there has been other research in a similar field that can be useful for fruitful inspiration (Flick, 2006:21). EAPs (employee assistance programmes) originated in the late 1800s from American industry in order to bridge the widening gap between management and labour that was dissatisfied with management's autocratic style in handling their working conditions, and thus threatened to unionise (Emener, Hutchison & Richard, 2003:32). In response to these issues, management created a system of programmes and employed individuals to provide services to address what management saw as problems in the lives of their workers. Today's EAP enhances worksite culture by attempting to increase productivity, improve morale, and decrease absenteeism, accidents, and employee turnover (Emener, Hutchison & Richard, 2003:32).

The Standards Committee of EAPA-SA (2010:1) defines an EAP as a work organisation resource, based on core technologies or functions to enhance employee and workplace effectiveness through prevention, identification, and resolution of personal and productivity issues.

The Employee Assistance Professionals Association of South Africa (EAPA-SA) was created in 1997 as a branch of EAPA International, and the standards were developed in 1999 and revised in 2005 and in 2010.

The purpose of these EAPA standards and professional guidelines for employee assistance programmes is to:

- Define employee assistance programmes in the EA profession.
- Promote the highest quality employee assistance programmes.
- Provide the foundation for programme accreditation and licensure.
- Describe the scope of EAP services.
- Educate the community regarding EAP services.
- Operationalise programme standards, guidelines and definitions.
- Serve the needs of the EAPA membership and other professionals (Standards Committee of EAPA-SA, 2003:2).

Chambers (2000:69) is aligned with these views, and states that where legislation and regulation are precise and specific, practitioners have little discretion and their task lies more or less in automated decision making, which leads to standardisation.

The lack of specificity of legislation and guidelines could lead social workers and human service professionals to freedom of practice, which can hamper the standardised way of EAP implementation (Chambers, 2000:69). This is the reason the study will be conducted with EAPA-SA members so as to benchmark the usage of the standards in implementation since they have clearly defined guidelines which they have to follow.

The criteria for implementation indicate that there must be a clearly written policy which will ensure consistent application of the rules of the EAP. According to the fifth standard under implementation in the EAPA-SA, standards policy must describe the EAP in its entirety (Standards Committee of EAPA-SA, 2010:6).

Harper (Maiden, 1999:2) in her study of South Africa's top 100 public companies states that most companies where the EAP has been properly implemented and managed continue to reap the rewards for themselves and their employees.

Implementation focuses on one category of standards, consisting of the following sections: policy, operational guidelines, and the implementation plan. The goal of implementation is to ensure that the mandates, principles, and focal areas of the EAP are fair, consistently applied, and balanced in the interests of the various stakeholders (Standards Committee of EAPA-SA, 2010:6).

EAPA-SA's Standard number 6 highlights that operational guidelines should be developed to operationalise the policy (Standards Committee of EAPA-SA, 2010:6). In essence, the absence of operational guidelines, even though there is a policy in an organisation, could affect the quality when rolling out the EAP.

The essence of the implementation of the EAP is that a policy must first be developed that will describe the EAP in its entirety, followed by the operational guidelines which will ensure how the policy is to be put into practice, and then the plan must establish the integrated service within the organisation (Standards Committee of EAPA-SA, 2010:6). The Federal Professional Association of Occupational Social Work (FPAOSW) was founded in Germany in 1995 with the objective to develop consensus and unity in the practice of occupational social work from one organisation to the other (Maiden, 2001:38).

These are some of the gaps that the researcher hopes to address with this study as it is necessary to determine the performance gap between the EAP practice and the standards, and the reasons thereof. Pybus (2002:33) highlights that the gap may be

negative or positive in this process, but in either case lessons may be learned from the benchmarking operation.

The selection of an EAP model will enhance the credibility of the service and demonstrate that the EAP is mindful of the necessity in utilising limited resources, at the same time illustrating its adaptability in terms of best practices (Standards Committee of EAPA-SA, 2010:4). The assumption would be that if it is an external model used by an organisation, the service provider would have established operational guidelines and implementation plans which it would bring into the organisation to roll out the EAP. The researcher would then explore if the model used to implement EAP in an organisation impacts on how the EAP is practised, based on the above argument.

This is supported by the conviction that for the EAP professional, a well-grounded theoretical framework is a necessary tool in organising and prioritising the complex array of information available to EAPs that work with complicated human beings who are part of a complicated system (Cunningham, 1994:33).

The EAPA-SA standards (2010:6) state that the following policy guidelines should be covered in the operational manual. Although very little guidance was provided, the implication was merely that the operational manual should provide coverage of all the core technologies of the EAP:

- Programme design
- Programme implementation.
- Management and administration.
- Clinical services.
- Non-clinical services.

- Networking.
- Monitoring and evaluation.

It is imperative to think about the type of social policy, its judicial decision concerns, and its practical effects on operating policy and procedures (Chambers, 2000:55). This addresses what the researcher seeks to benchmark on the implementation of a standard in relation to policies, the lack of practicality or clarification thereof, and how it may influence implementation, and then use those findings to improve the implementation standard.

A social policy should always include clarification about whether the issue at hand is one that concerns substantive policy or due process (procedural) issues; it should also include an examination of the practical effects on organisational operating policy and procedures (Chambers, 2000:56).

The criteria for an implementation plan in the EAP standards (Standards Committee of EAPA-SA, 2010:7) include that standards should be reviewed annually and that the process must stipulate, inter alia, the following:

- Action needed.
- Timeframes.
- Resources.
- Responsible person.
- Performance indicators.
- Monitoring.

These are the guidelines that lead to a coherent implementation of EAP in an organisation. The EAPA-SA standards are guidelines for the EAP programme and

should be adapted without compromising the underlying principles such as the design, implementation, and evaluation phase (EAPA-SA, 2010:1).

These are the benchmarks that will be explored by the researcher in the EAP practice to determine whether EAP practitioners are observing these implementation protocols which will have a bearing on the ultimate quality output of the EAP.

There are six steps in the benchmarking cycle, namely:

- Determine what to benchmark.
- Form the team to do the benchmarking.
- Identify the benchmarking partners.
- Gather the data and exchange information.
- Analyse the data and determine what is valuable.
- Apply the lessons within the organisation.

This cycle will guide the researcher to ensure that the objectives of the study are met (Pybus, 2002:5).

The main focus of the study will be to benchmark the criteria in policy implementation to see if they are applied uniformly across the different organisations. The maintenance of the three standards mentioned above provides a good framework for qualitative and consistent EAP practice. It is important to highlight that the operational guidelines were initially included in the 2010 version of the EAPA-SA Standards document, which may have certain implications in terms of the widespread application thereof.

### 1.3 Theoretical framework

The researcher will use systems theory as a theoretical framework since the study seeks to understand EAP practice within the different organisations. Systems theory tells us that we are all affected by the behaviour of the ecological systems which we are a part of, and of those systems that we share with other individuals (Cunningham, 1994:71).

The definition of EAP highlights certain requisite characteristics of an EAP, i.e., the clear extent of its coverage of all or selected employees and their dependents, its systematic provision of counselling by right rather than by privilege or patronage, and its adherence to levels of service quality on an independently verified basis (Berridge, Cooper & Highley-Marchington, 1997:14). The above-mentioned views inform us that systems theory seeks to explain that the behaviour of individuals should not be interpreted in isolation, but be viewed in terms of what is happening in their surroundings.

The goal of the study is to explore the nature of EAP practice in different organisations and to see if it is implemented in line with the EAPA standards of implementation. The researcher will be guided by systems theory in determining the benchmark. Therefore, systems theory offers an overall framework to understanding both the complex structures in which people carry out their work and the interactional patterns that exist in work groups (Cunningham, 1994:43).

The different systems within an organisation develop their own subcultures, and it may be important for EAP staff to understand these differences and how they impact the overall company and the EAP (Cunningham, 1994:24).

Congruent to the above-mentioned authors, French and Bell (1995:93) mention that a systems approach encourages analysis of events in terms of multiple rather than single causation, and that one cannot change one part of a system without influencing other parts one way or another.

The researcher will use this theory as a basis for understanding the implementation of the EAP by practitioners. This background is critical to enable the researcher to explore EAP practice in line with its implementation in order to understand the concrete types of systematic barriers in the day-to-day service delivery of the EAP.

The researcher also explores the appropriateness of programme theory as it refers to those concepts that are used to explain how a programme or its implementation will work (Bickman, 1987:43). This author has noted ten functions of “programme theory” as follows:

- Contributing to social science knowledge.
- Assisting policy making.
- Discriminating between theory failure and programme failure.
- Identifying the problem and target group.
- Providing programme implementation description.
- Uncovering unintended effects.
- Specifying intervening variables.
- Improving formative use of evaluation.
- Clarifying measurement issue.
- Improving consensus formation.

One implication of a programme theory perspective is that a critical impediment has been identified from a number of system elements (Bickman, 1987:69). In this case it is possible that the lack of implementation standards, or how implementation as a standard is carried out by EAPs, may be influenced by other factors within the organisation as a system. Also, if one of the functions of programme theory provides a programme implementation description, as mentioned above, it supports what the researcher seeks to explore, which is to uncover the challenges around programme implementation.

However, the researcher realises that the application of programme theory would be more important in the context of evaluating the programmes, and this would not be appropriate for benchmarking.

#### **1.4 Rationale and problem statement**

The EAP is a growing “profession.” It is therefore imperative for the EAP to demonstrate the science behind its practice in order to gain credibility and buy-in within organisations. The absence of written guidelines of operation, or the lack of utilisation thereof, can result in an incoherent way of practicing the EAP, thus affecting the reputation and utilisation of the programme.

The perceived problem currently is a lack of knowledge pertaining to the practice of programme implementation, benchmarked against the prescribed EAPA-SA standards, which could possibly result in an inability to identify poorly designed policies, operational guidelines, and implementation plans. Poorly applied standards may negatively influence the whole of the EAP fraternity, and may result in employees not being assisted in achieving their goals, which could hamper productivity.

Regarding implementation, the goal is also to benchmark the EAP in organisations against what is prescribed by the EAPA-SA Standards document.

Sybert (2006:84) states that the goal of benchmarking is to provide key personnel in charge of processes with an external standard for measuring quality and costs of internal activities, and to help identify where opportunities for improvement may exist.

The value of this study will therefore be to formulate recommendations that will enable the EAP profession to develop clear policies and operational guidelines that will improve programme implementation and standardisation of practice in line with the EAPA-SA Standards document.

The research will be guided by the following research question: *What is the nature of implementation as an EAP standard in South African practice, benchmarked against EAPA-SA standards?* Implementation in this context includes the policy, operational guidelines, and implementation plan.

## **1.5 Goal and objectives**

### **1.5.1 Goals**

The goal of this study, which is exploratory in nature, is to benchmark the practice of the “implementation standards” in employee assistance programmes as applied in South Africa against the EAPA-SA standards.

### **1.5.2 Objectives**

In order to achieve the above-mentioned goal, the following objectives were formulated:

- To conceptualise implementation of employee assistance programmes.

- To explore and describe the practice of EAP policy and the operational guidelines and implementation plan by benchmarking against the EAPA–SA standards.
- To explore and describe the challenges regarding the implementation of the policies, operational guidelines, and implementation plans.
- To formulate recommendations on implementation to the EAPA-SA Board that may contribute to the improvement of EAP standards during the revision of the EAPA-SA Standards document.

## **1.6 Research approach**

The researcher will apply the quantitative research approach in this study, which is believed to be the best way of measuring the properties of phenomena through assigning numbers to the perceived qualities of things (Babbie & Mouton, 2001:49).

Quantitative research is by nature an enquiry into the social and human problem based on testing theory, and comprises variables, measured numbers, and analysis of statistical procedures in order to determine whether the predictive generalisation of the theory is true Fouché & Delport (in De Vos, Strydom, Fouche and Delport, 2002:79).

In this study, the researcher will explore the number of EAPs that have developed EAP policies with operational guidelines and implementation plans in rolling out EAPs against those that have not done so. The mentioned exploratory exercise will be done by means of a survey amongst practicing EAP professionals.

These observations will assist the researcher in determining the extent to which EAPs meet the expected standards in the absence of the said guidelines, and to identify the factors affecting implementation of EAPs.

## 1.7 Type of research

Applied research is the scientific planning of induced change in a troublesome situation, and a plan to determine future courses of action through on the basis of research. Applied research offers guidance with regard to practical matters on daily social life, as it focuses on the development of solutions or the solving of problems (Molefe, 2003:6).

This study calls for applied research as it seeks to understand the practice of the EAPs in the utilisation of implementation standards. The outcome thereof will be utilised in order to make some recommendations to the EAPA-SA Board in order to adapt their current set of EAP standards, if necessary.

## 1.8 Research design

This is an exploratory study that seeks to benchmark current practices regarding policies, operational guidelines and implementation plans as applied by South African EAP professionals. In order for an internal best practice concept to be successful, it must be practised between different groups carrying the same tasks and operations within the same organisation (Pybus, 2002:26).

A survey was launched to collect data and validate perceptions of the practices of EAPs, and make references against the EAPA-SA Standards.

The researcher used a non-experimental survey design, and collected data through structured questionnaires (group-administered and online). The researcher expanded on and was more descriptive on the relevant paragraph dealing with data collection.

The EAPA-SA has members all over South Africa who were selected to participate in the online survey. The advantages and disadvantages of online surveys according to Fricker (2002:16) are the following:

- Web surveys are much cheaper to conduct.
- Web surveys are faster.

- Combined with other survey modes, web surveys yield a higher response rate than the other survey modes by themselves.

Babbie (2001:268) cites that standardised questionnaires have an important strength in regard to measurement generally. However, they can be inflexible in many ways, unlike field conditions that can be modified as the need arises. The questionnaire was pilot-tested in order to identify and rectify any specific limitations.

## **1.9 Chapter outline**

This chapter gives a general overview and background of the study with specifics on research methodology, and is based on the research proposal. Benchmarking against the EAPA-SA standards is best conducted amongst the registered individual members of the EAPA-SA because the assumption is that they are the population that has to abide by these standards.

In chapter 2, a literature review will be done on EAPs and EAPA-SA standards, with specific focus on the category on “Implementation of the EAP”, including policy, operational guidelines, and the implementation plan. Details will be provided on the latest trends regarding the mentioned standards, and how each standard should be dealt with in an operational manner. In chapter 3 the results on the empirical study and findings will be presented.

The researcher will do a benchmark through the questionnaires distributed to the 300 EAPA-SA members to obtain data on how they apply the EAPA-SA standards regarding the EAP policy, operational guidelines, and implementation plan. Pybus (2002:4) states that benchmarking is a process of continuous improvement, and involves the measurement of performance against particular criteria related to an activity.

Chapter 4 will denote the summary of the results, conclusions, and recommendations for the EAPA-SA Standards document.

### **1.10 Limitations**

The obvious limitations were evidently time, the length of the questionnaire, and the sector in which the majority of the respondents were working. Seemingly, the length of the questionnaire impacted negatively on the number of successfully completed questionnaires as the number of questionnaires completed started declining in number from 91 (ninety-one) to 64 (sixty-four), even though the respondents were forewarned and made aware of the instructions that it would take between 40 and 45 minutes to complete the questionnaire. The researcher also noticed that the respondents experienced time constraints as some questionnaires had to be discarded because they were incomplete, regardless of the fact that respondents were assured upfront that “completed responses will be automatically saved to allow them to proceed at a later stage, without losing information already provided.” The majority of the respondents were from the public sector even though members of EAPA-SA emanated from both the public and private sectors. The study, however, was not particularly prejudiced by these limitations as the researcher could still draw conclusive inferences from the remaining the respondents.

## CHAPTER 2

### Implementation of the Employee Assistance Programmes: A theoretical overview

#### 2.1 Introduction

The effective functioning of an employee assistance programme (EAP) depends on the establishment of standards aiming to serve as a guideline for the practise and rendering of EAP services. According to the Institute of Electrical and Electronics Engineers Standards Association (2015), a standard can be defined as a published document that aims to establish the specifications and procedures designed to maximise the reliability of the materials, products, methods and/or services people use every day. Furthermore, standards address a range of issues including, but not limited to, various protocols that help maximise a product's or service's functionality and compatibility. Similar measures in published protocols have been identified in the field of EAP. Since the beginning of the industrial revolution in the 18th century, companies have used standardisation as a means of reducing uncertainty, managing reputation, enhancing market reach, controlling quality, and fuelling innovation (Phillip, 2013).

Drawing from the rich background of the social work profession, the EAP represents vital core social work values that promote equal and consistent wellbeing service delivery (Rajin, 2012). The employee assistance programmes (EAPs) have become a valuable tool that organisations can introduce to engage employees and improve and maintain the productivity and healthy functioning of its people. It is estimated that over 10 million employees in the UK now receive support from EAPs when they need assistance with personal problems (UK-EAPA, 2012:5). This background acts as a foundation for this promotion which can be seen to be supported by the roles played by the standards applied by practitioners in this field.

According to the UK-EAPA standards (2012:14), the EAP needs to set standards that safeguard clients, counsellors, and organisations during the therapeutic process. The Australian and New Zealand standards (EAPAA, 2009:2) endorse this premise, namely that the standards are designed to assist with the development, implementation, maintenance, and evaluation of an EAP, with key components having been identified to ensure an effective programme.

When unpacking the standards in order to explore and determine effective EAP practice, international literature, as indicated in Jacobson and Jone (2010) and Sharar and Hartenstein (2006), has revealed an in-depth understanding of the Employee Assistance Programme Association (EAPA) standards, which have influenced the development of the EAPA-South Africa (SA) standards. The history of the EAP is said to have its origin in RC Macy & Co from the USA in 1917, followed by the Northern State Power. It then developed in the 1940s as employer concerns about alcoholism amongst white-collar workers increased. Programmes to treat mental, emotional, and financial problems caused by alcohol and drug abuse also evolved (UK-EAPA, 2012:6). A broader, more focused EAP was therefore developed to manage the wider behavioural issues affecting performance at work, beyond the issue of alcohol abuse. At the same time EAPs were emerging around the world, accelerated by the need of global organisations to establish programmes in countries where they had operations, hence the spread to the UK in the late 1970s, followed by Australia and South Africa, and to a lesser degree the mainland in Europe (UK, 2012:7)

Inasmuch as the EAPA-SA standards represent an independently established guideline of practice, their origin has taken much from Western Eurocentric and American practice standards, resulting in the question of their credibility in the context of South African practice. According to the EAPA Standards Committee standards

(2012:3), the outlined purposes of the EAPA are: (1) to define employee assistance programmes and the EAP profession; (2) promote the highest quality employee assistance programmes; (3) provide the foundation for programme evaluation and accreditation; (4) describe the scope of employee assistance services; (5) educate the purchasers of employee assistance services; (6) operationalise the programme standards, guidelines, and definitions; and (7) serve the needs of EAPA membership and other professionals.

The outline presentation of the UK-EAPA standards has been seen in the Australasia (Australia and New Zealand) EAPA standards, which also outlines similar standards of practice (EAPAA, 2009:2). According to the Australasia EAP standards (EAPAA, 2009:2), the purpose of EAPA standards is to provide a firm foundation for the implementation and utilisation of employee assistance programmes in Australia and New Zealand. The EAPA Standards Committee standards similarly state that standards are the fundamental elements required for an effective employee assistance programme (2010:3). It could be argued that this similarity is the result of the common background of social work from which their EAP practices evolved (Wilson & Campbell, 2012). Drawing from this rich influence of Western-Eurocentric and American EAPA standards, the EAPA-SA standards list the purposes of the employee assistance programme as follows:

- To define the EAP field as a profession.
- To describe the scope of EAP services.
- To educate the community on EAP services.
- To suggest applications for programme standards, guidelines, and definitions.

- To serve the needs of EAP membership (Emener, Hutchison & Richard, 2003:186).

It could be strongly argued that these South African EAPA standards do not view the profession in isolation from the communities to whom the EAPA-SA renders its services. The UK–EAPA standards (2012:6) affirm that what is special about EAP is its unique relationship between the employer, the EAP or counsellor, and the employee, meaning that due to the performance-based backdrop the work of an EAP always retains an organisational context and focus.

Moreover, it does acknowledge its role in educating communities on these services. Du Plessis (1999:20) argues that the EAP profession, although relatively new, still requires clarification to be further established within the South African workplace community.

It could be argued that the lack of community understanding of the EAP profession and the services it renders, as observed in this research, have resulted in the non-accreditation of EAPs in South Africa. Moreover, the failure to accredit the EA programmes has remained a critical obstacle for their design, organisation, and operation in accordance with the currently accepted EAP programme standards (Emener et al., 2003:186).

## **2.2 Employee Assistance Programme Association South African Standards**

The following standards are discussed in the EAPA-SA (2010). They constitute the effective practice of the EAP within the South African workforce community, and are categorised into eight valuable segments, which will be discussed next. Furthermore, the EAPA-SA standards dictate that their purpose can be described as follows:

- To provide a benchmark for employee assistance practice.
- To promote the establishment of quality employee assistance programmes.
- To describe the scope of EAP services.
- To operationalise programme standards and guidelines.
- To educate the community about EAP services.
- To serve as a guide for EAPA–SA membership and related professionals.
- To enhance the quality and functioning of existing employee assistance programmes.

Although this study will focus primarily on the implementation standard and not all the EAPA-SA standards, a summary of the remaining categories of standards is provided to highlight clear context about the EAPA-SA standards. For the very same reason the researcher has relied mainly on standards documents from different countries to contextualise the additional standards not being the focus of the study.

### **2.2.1 Programme design**

Programme design must take into account the needs of the organisation’s employees and others who are eligible for EAP services, and must also be consistent with organisational policies (EAPA Standards Committee, 2010:7).

According to the EAPA-SA (2010), the programme design section consists of four important standards: the advisory committee, organisational profiling, service delivery models and procedures, as well as a costing model.

#### **2.2.1.1 Advisory Committee**

The US EAP standards (2010) outline that there shall be an advisory process within the organisation which provides for the involvement of representatives of all key

segments of the workforce, and its intention to ensure programme understanding, acceptance, and support throughout the organisation.

This advisory committee should ideally be represented at the highest possible level in an organisation, and serves as a platform on which all the vital role players in the design and operation of EAP services are represented. These role players include senior management, employees, supervisors, and departments such as human resources, occupational health and safety, training, as well union representatives (EAPA-SA, 2010:3). In essence, the advisory process within the organisation provides for the involvement of representatives of all key segments of the workforce (EAPA Standards Committee, 2010:8). The functions of this committee are to formulate policy and strategy, to advise on the implementation process, marketing and promotion and evaluation of the EAP, and to provide all the necessary support for the organisation (Standards Committee of EAPA-SA, 2010:3).

#### **2.2.1.2 Organisational profiling**

The aim of needs assessment as part of organisational profiling is to assist in the design of an EAP that is most appropriate to the effective operation of the organisation. According to the Standards Committee of EAPA-SA (2010:4), assessment assists the organisation in determining the most cost-effective methods of providing EAP services. Additional organisational profiling provides unbiased rendering of EAP services to the organisation. For example, EAP professionals are seen to provide more support for employee wellness than appears in the organisation's mission and values.

### **2.2.1.3 Service delivery model and procedures**

The service delivery models and procedures define the method followed by the organisation when providing EAP services. This delivery model assists in the provision of employee assistance programme services through a distinct, identifiable manner from other organisational processes and functions, such as the department of human resources, and helps to ensure that EAP service delivery does not occur through inappropriate organisational channels (EAPA Standards Committee, 2010). In addition, this service delivery system must reflect the unique needs of the organisation and its employees (EAPA Standards Committee, 2010:8).

The Standards Committee of EAPA-SA (2010:4) highlights these models as internal, external, and combination models chosen by the organisation according to geographical location, size and structure of the organisation, financial resources, and employees' preferences. They are underpinned by factors such as confidentiality.

Maiden (2001:108) maintains that there is evidence that occupational social workers are exposed to unusual challenges, and reach out for creative responses to service delivery. These challenges to service delivery are affected significantly by the process of policy development and poor organisational assessment. It is therefore not surprising that Cloete and Wissink (2005:178) concur that the dynamics inherent in implementation processes can no longer be neglected, however inconvenient that might be.

### **2.2.1.4 Costing model**

Because the organisational mandate of operation is influenced by the generation of high financial profit (Barry, 2000:102), EAP services have to create a balance between

expenditure and benefits in order to have the support of top management (Standards Committee of EAPA-SA, 2010:5). It could be argued that this balancing role played by the EAP professions directly impacts the social work profession, from its general traditional clinical practice to contemporary critical social work, influenced by the business world.

## **2.2.2 Management and administration**

The EAPA Standards Committee (2010:13) standards prescribe that written procedures for employee assistance programme administration and operation be developed based on organisational needs, programme objectives, and the organisation's employee assistance programme policy statement.

As stated in the EAPA-SA (2010), the management and administration standard consists of seven sub-standards, namely staffing, EAP professional consultation or supervision, professional development, confidentiality, recordkeeping, professional ability insurance, and ethics.

### **2.2.2.1 Staffing**

This standard ensures that practitioners/professionals rendering EAP services match the organisation's needs for effective service delivery. This includes professional and legal requirements, sufficient EAP staff to meet the organisation's number of employees, and an appropriate level of administrative support staff familiar with issues of confidentiality and ethics (Standards Committee of EAPA-SA, 2010:7). Similarly, the EAPA Standards Committee standards (2010) concur that an adequate number of employee assistance professionals must be available to achieve the stated goals and objectives of the employee assistance programme.

As argued in the EAPA-SA (2010:7), it is important that organisations consider the involvement of at least one qualified EAP practitioner when contracting EAP services in order to coordinate the delivery of the services. Furthermore, factors such as geographical location in relation to the workplace and employee population also play a major role in the staffing of EAP professionals/practitioners responsible for EAP service delivery.

#### **2.2.2.2 EAP Professional consultation or supervision**

Employee assistance professionals who provide client services to individuals must receive case consultation/supervision (EAPA Standards Committee, 2010:16). Similar views are shared in the Standards Committee of EAPA-SA (2010) in order to protect client/employee interests, and to enhance the EAP professional's knowledge, attitude, and skills. EAP practitioners/professionals must be subjected to ongoing consultation or supervision (EAPA Standards Committee, 2010:8). Since EAP practitioners or professionals are exposed to individuals' personal problems, such exposure can lead to professional burnout and isolation that might negatively impact the delivery of EAP services. A structured approach of consultation or supervision under the guidance of an experienced professional minimises the chances of EAP practitioners being exposed to such risks (EAPA-SA, 2010:8).

#### **2.2.2.3 Professional development**

The Standards Committee of EAPA-SA (2010:9) states that in order for EAP practitioners to professionally grow in the rendering of EAP services, they must engage and participate in professional development activities to ensure that their professional skills and knowledge are continuously upgraded and that they keep abreast of new developments. Such engagements include contributions to research,

attending conferences, and subscriptions to EAP academic journals (EAPA-SA, 2010:9). The US standards (2010:17) state categorically that an EA professional develops valuable professional and personal relationships through regular attendance of EAPA chapter meetings.

#### **2.2.2.4 Confidentiality**

The confidentiality standard is the cornerstone of the profession, consisting of ethics and legal requirements. The UK standards (2012:6) allude to the fact that confidentiality is a key feature of an EAP, and the understanding of this by all stakeholders involved is crucial to maintain the integrity of the service.

The Standards Committee of EAPA-SA (2010:9) further states that upholding confidentiality protects the privacy of the individuals utilising EAP services, and prevents litigation. The confidentiality standard ensures that written statements on confidentiality are included in all documents and communications involving the rendering of EAP services (Standards Committee of EAPA-SA, 2010:9). The EAPA Standards Committee standards (2010:21) maintain that all employee assistance programmes must prepare and implement a written policy of confidentiality that reflects applicable laws and professional standards and ethics which clearly explain all restrictions, and limitations, pertaining to confidentiality.

#### **2.2.2.5 Recordkeeping**

The standard of recordkeeping may never be compromised, and the importance of maintaining records of the interaction with clients by all EAP practitioner/professionals to ensure proper and accurate control over the utilisation of EAP services, cannot be overemphasised (Standards Committee of EAPA-SA, 2010:10). It can be argued that

the use of technology plays an essential role in the maintenance of records, including back-up data technology, secured information technology servers, and electronic recordings. However, computerised records must be maintained in a secure environment and separated from other data systems and all other records, and such recordkeeping must be in line with the written statement on confidentiality (EAPA Standards Committee, 2010:18).

#### **2.2.2.6 Professional liability insurance**

The EAPA-SA standards (2010) outline the importance of professional liability insurance for EAP practitioners/professionals. Such professional liability insurance includes the necessary precautions to be taken when addressing legal challenges related to the delivery of EAP services, and it is advisable that EA professionals should obtain adequate and appropriate liability cover (EAPA Standards Committee, 2010:19.)

#### **2.2.2.7 Ethics**

This standard informs EAP practitioners/professionals to maintain ethical conduct in adherence to the EAPA's code of ethics (EAPA Standards Committee, 2010:20). Furthermore, such adherence helps to ensure that professionals assume responsibility for the consequences of their actions and they should, at all times, act in a professional manner in order to protect the consumer, the community, the professional, and the profession as a whole (EAPA Standards Committee, 2010:20).

According to the EAPA-A (2009:10), it is important that EAP service providers conduct their business in the same ethical manner as is expected of them in the organisation. The EAPA-A (2009:10) further agrees with the EAPA-SA (2010) standards in that

service providers should be members of and adhere to the ethics of the EAPA-SA and any other appropriate professional body to demonstrate that they are bound by a set of standards for professional conduct.

The provider of an EAP should be honest and ethical in disclosing the structure of its business, including ownership, affiliations (religious, private hospital, etc.), financial viability, and any other information a purchaser may request in order to make an informed decision (EAPA-A, 2009:10).

### **2.2.3 Clinical services**

The clinical services standard provides seven sub-standards, namely trauma management, crisis intervention, assessment, referral, short-term intervention, case monitoring and evaluation, as well as aftercare and reintegration (Standards Committee of EAPA-SA, 2010:11). These sub-standards look at the core-clinical services that provide employees with support which ranges from trauma diffusion, timeous defusing and debriefing, normalisation of crisis situations and promotion of crisis intervention, and psychosocial assessments and intervention. In addition, clinical services include the referral of cases to external service providers or resources, monitoring referred cases to ensure progress, planning of reintegrating employees back into the workplace and providing them with aftercare services to ensure ongoing support (Standards Committee of EAPA-SA, 2010:11-14).

### **2.2.4 Non-clinical services**

According to the EAPA-SA standards (2010), the non-clinical services standard includes three sub-standards, namely organisational consultation, EAP training, and marketing. These non-clinical services allow EAP professionals to provide advice and

consultation in order to minimise organisational risks and promote organisational effectiveness through adding EAP value to strategic business imperatives (Standards Committee of EAPA-SA, 2010:15). Furthermore, these sub-standards provide EAP practitioners the guidance of utilising training as an intervention strategy to enhance employee and organisational resilience. The intent of training is to provide role clarification and the relevant skills in early problem recognition, timely intervention, and appropriate referral to the EAP (EAPA Standards Committee, 2010:27). In addition, non-clinical services standards ensure that EAP services are marketed effectively within the organisation, and that employees are aware of the EAP services being rendered and how they are accessed (Standards Committee of EAPA-SA, 2010:15-16). It is essential to launch aggressive campaigns through posters, leaflets, and talks to promote the philosophy that employee health and safety and general wellbeing are important and beneficial to both the employee and the organisation (Swanepoel, Erasmus & Schenk, 2008:538).

### **2.2.5 Preventive services**

The preventive services standard ensures that EAP practitioners/professionals develop holistic and proactive interventions that would ensure that the programmes in place mitigate employee behavioural and organisational risks (Standards Committee of EAPA-SA, 2010:16). Moreover, because the standard focuses on prevention, it seeks to promote the most cost-effective rather than the curative aspect of the EAP as a way of enhancing optimal wellness, individual resilience, team engagement, and organisational efficacy (Standards Committee of EAPA-SA, 2010:16).

### **2.2.6 Networking**

The networking standard provides EAP practitioners/professionals with a platform to network with the various internal and external stakeholders in order to create strategic partnerships for responding to employee and organisational needs (Standards Committee of EAPA-SA, 2010:17). Involvement in networking in the EAP field contributes to the growth of EAP knowledge and skills, and it creates a support base that is beneficial to both the organisation and employees.

### **2.2.7 Monitoring and evaluation**

In accordance with the EAPA-SA standards (2010:18), the monitoring and evaluation standard emphasises the essential role played by EAP practitioners/professionals within an organisation, and it underscores the benefits generated from such EAP programmes. The EAP is in a unique position to monitor the progress of referrals and adherence to accepted standards of practice, hence providing follow-up services demonstrates a commitment to the wellbeing of EAP clients and the organisation (EAPA Standards Committee, 2010:26).

Monitoring and evaluation extend to the judgement of the usefulness and progress of EAP services by the organisation to determine the future pool programme modification of resources such as finance and time (Standards Committee of EAPA-SA, 2010:18). The evaluation of any EAP must be rigorous and ongoing. It needs to monitor ongoing utilisation rates of all represented groupings, timekeeping for appointments, overall awareness of the programmes by the majority of employees, general employee satisfaction with the quality of counselling, and the outcome of intervention employees, etc. EAPA-A, 2011:8).

### 2.2.8 Implementation

As mentioned in the beginning of the literature review discussion, this study focuses on the implementation standard that will be largely discussed to support and create an understanding of the research objectives outlined in chapter 1. As stated in the EAPA-SA Standards document (2010), the implementation standard comprises three sub-standards, namely policy, operational guidelines, and implementation plan. These will be deliberated in detail.

According to Pressman and Wildasky (in Cloete & Wissink, 2005:177), implementation is not an easy concept to define. A number of researchers have studied implementation as a process in an attempt to develop both policy and an implementation model. Moreover, with the intention of determining what makes a policy and its subsequent implementation successful, they have discovered the means of predicting a successful implementation (Roh, 2012:6). Implementation entails creating the necessary “architectural” configurations including structures, systems, processes and policies, and building the appropriate culture and climate conducive to all resource mobilisation to achieve projected objectives (Swanepoel, 2014:183).

Taking into consideration all the collaborative studies by researchers, it could be argued that implementation refers to a transaction, in other words, executing a programme. This meaning refers to those who implement this transaction as continually dealing with tasks, environments, clients, and each other as implementers with their subjective views of the implementation process (Cloete & Wissink, 2005:176). Implementation is not simply a managerial or administrative problem, but a political process concerned with who gets what, when, how, where, and from whom. This could be understood as implementation involving multiple actors (Cloete &

Wissink, 2005:177), and may therefore be a factor that has an influence on EAP implementation in the workplace where the individual is the key challenge to implementation (Swanepoel, 2014:183). In conclusion, in order to understand the implementation standard, it is important to further explore the sub-standards which are policy, operational guidelines, and the implementation plan. Formal policies and procedures are necessary in order to provide consistency and discipline within an organisation, and can also be effective in keeping the focus on the organisation's objectives (Young, 2009:95). Fresh perspectives and recent life experiences of the current generation of students will help shape the policy frameworks of the future (Aerni, 2013:14).

#### **2.2.8.1 Policy**

A public policy is defined as a combination of basic decisions, commitment, and actions made by those who hold or affect government positions of authority (Gerston, 2004:7). Furthermore, a policy is a method for enforcing management views on specific business-related activities (Young, 2009:95). The EAPA Standards Committee standards (2010:11) prescribe that the organisation must adopt a written employee assistance programme policy which defines the employee assistance programme's relationship to the organisation, describes the programme as a confidential resource, and states the scope and limitations of the programme's services. The policy statement should not be confused with operating procedures. The EAPA-SA standards (2010:6) in fact specify that a clearly written policy must ensure the consistent application of the rules and regulations of the EAP. Similarly, Lawson (1998:16) concurs that a written policy should increase understanding to eliminate the need for personal decisions on matters that affect the organisation. This policy must stipulate what is intended, how this will be done, who will act, what will be used when

action will be taken (Van der Waldt & Du Toit, 1999:298). Registered members are expected to ensure that the organisations which operate and implement EAP services have a policy that clearly defines the purpose and objectives of the services provided, and that also defines the organisation's relationship with other organisational functions. The existence of a policy guided by EAPA standards therefore provides a clear definition of the programmes being designed and operated by EAP professionals, and thus supports the functioning of the EAPA.

Maiden (1999:4) stated that a written policy statement is viewed as an essential component of an EAP as it describes important parameters for the entire operation of the EAP. The EAP is a tool for supporting line managers in improving employee performance. When the policies are not clear, this support can be difficult to achieve.

Similarly, policies are continually transformed by implementing actions that alter resources and objectives simultaneously. Implementation can therefore be equated with a process of evolution. Cloete and Wissink (2005:178) point out that "when we act to implement a policy, we change it."

Chambers (2000:71) highlights six elements that collectively form the cornerstone of any policy and programme presented daily to citizens, programme clients, and beneficiaries. These elements are: goals and objectives, forms of benefits or services delivered, entitlement (eligibility) rules, administrative or organisational structure for service delivery, financing methods, and interaction amongst the foregoing elements.

## **1. Goals and objectives of EAPs**

In the Investigations and Human Resource Reviews (2006:31), it is stated that the most common objectives of EAPs in departments that have EAP policies are to:

- Provide constructive assistance to employees and their immediate family members who are experiencing any form of personal problems, such as physical illness, mental and emotional illness, family distress, financial, alcoholism, drugs dependency, legal or other matters.
- Render a confidential service aimed at assisting employees improve their efficiency and quality of life by means of preventative and remedial activities.
- Timeously identify, assess, and refer troubled employees/underachievers for specialist treatment (internal or external service providers) for successful re-integration into the work environment.
- Prevent a decline of performance from employees with normally satisfying job performance and potential.
- Establish and maintain a holistic approach to remedy personal, social, and emotional problems.
- Increase the level of interpersonal skills amongst employees in departments.
- Enhance the quality of life of all the employees and to provide them with a fulfilling, safe, and healthy environment.

## **2. Forms of benefits or services delivered**

Emener at al. (2003:190) comment that the policy statement defines the EAP's relationship with the organisation, and describes EAPs as confidential resources for the benefit of the organisation and its employees. In addition, the policy should state the scope of the programme's services as well as its limitations.

### **3. Entitlement (eligibility) rules**

A clearly written policy is described as being consistent in its application of the rules and regulations associated with the EAP (Standards Committee of EAPA-SA, 2010:6). Similarly, these rules and regulations are better applied when supported by a country's labour laws. For example, the provision of EAP services should not be accompanied by rules such as gender bias, race exclusion, or judgmental attitudes that are perceived by the constitution and labour laws of that country as discriminatory (Nel, Kirsten, Swanepoel & Poisat, 2008). This example is supported by the EAPA Standards Committee (2010:13), which states that an EAP policy must be consistent with any other pertinent organisational policies, such as those addressing disciplinary actions, the Workers Compensation Act (South Africa), and the American Disabilities Act.

### **4. Financing method**

As stated by the Standards Committee of EAPA-SA (2010:6), the financial implications of a policy not only focus on the finances used during the formation of a policy, but also specify that employees who use EAP services should adhere to the job performance requirements of the organisation. Such adherence accentuates the core of the organisation as a business aiming to increase productivity and financial profitability.

There is a general lack of literature relating to the policies and practices of the different programmes. A study conducted in Ireland serves as an example of the shortage of representative literature, and there is no evidence of any study of policies and types of practice programmes (Maiden, 2001:74). However, according to the Branch Investigations and Human Resource Review by the Public Service Commission(2009:14), it was found that at national level and in the five provinces that

participated, 23 departments have comprehensive EAP policies and programmes, 16 have limited EAP policies and programmes, and 11 have draft EAP policies and programmes in place. Young (2009:95) declares that it is imperative that a structured process must be followed in the formation of a policy.

#### **2.2.8.1.1 Policy formulation**

Policy formulation is defined as the strategic planning process leading to a general concept (Portal Transport teaching material, 2003:5). In drafting any policy, the following important guiding principles must be adhered to (Planning Unit, 2005:4):

- Any policy should be structured, drafted, and presented in a way that renders the policy understandable and easy to read and interpret.
- The content of a policy should be concise, to the point and action-orientated, and should have a logical and coherent structure.
- Plain language must be used that can be readily understood by the intended audience.

During policy formation, the policymakers decide not only on the goals of a policy but also on how to reach those goals. Young (2009:95) maintains that the first step in policy formulation is the identification of the need for the policy; the need can then be reflected in the aim of the policy. Policymakers must formulate the policy with a view to executing a characteristic focus on their own role in the implementation process (Roh, 2012:6). Policymakers are in a pivotal position of power in that they have to deal with a variety of competing interests and pressures so that, ultimately, there are improved results (Gerston, 2009:71). It is therefore essential that the support of all the role players is obtained before the draft policy is finalised (Young, 2009:95).

It is important to stress that policy formulation and implementation are not necessarily consecutive processes, but are very often parallel processes whereby policy design or redesign and revision can take place, even during the formal implementation stages of the policy project (Cloete & Wissink, 2005:186). In fact, policy success is sometimes attributable to such redesign or customisation of the original design during implementation, because the original policy designers did not or could not foresee specific complications at the regional and local grassroots levels (Cloete & Wissink, 2005:186).

When drafting the policy, it must be clear whether any matter or action prescribed in the policy is mandatory or discretionary by using the words “must” or “may” (Planning Unit, 2005:4). It has been claimed that the policy formulation process experiences the following challenges: although policies for reaching defined aims are well known and documented, the main problem is their implementation, which would convince the parties involved, gaining their awareness and acceptance (Portal Transport teaching material, 2003:10). The Planning Units (2005:3) specify that after final approval by the appropriate structures, the next step is to plan and implement broad communication and distribution of the new policy. Whenever a policy is being implemented a memo must be prepared that communicates and explains the new policy (Lawson, 1998).

Therefore, during the development of EAP policies for EAP practitioners, it is important to remain mindful that policymakers are in pivotal positions of power, because they have to deal with a variety of competing interests and pressures so that an improved condition ultimately results in response to their efforts (Gerston, 2004:71). Hence, discovering exactly where and how the particular policy is made will help the implementers as change agents to determine both the level and the setting where action must be focused in order to facilitate change (Cummins, Byers and Pedrick,

2011). Policymaking is a process that requires a number of functions, namely that policymakers identify any troublesome or dysfunctional situations, and that they must investigate matters requiring new policies or policy adaptation (Thornhill, 2012:139)

### **2.2.8.1.2 Policy formulation/making process**

Botes, Brynard, Fourie and Roux (1996:306) argue that policies encompass systematic actions which should be taken, and when attempting to set these up the following must be considered:

- What must be done to attain the defined goal?
- Who must be involved in achieving the aim?
- When must the various programmes of the policy be implemented?
- Where must all the activities be performed?
- How must the programme be implemented?
- Why must this specific policy be followed?

Dunn in Cloete and Wissink (2000:45, 287), on the other hand, asserts that the policy process is described as a complex and irregular process with distinguishable stages that can be identified in five phases: agenda setting, policy formulation, policy adoption, policy implementation, and policy assessment. An important issue to highlight is that the policymaking process will always involve interaction between interested communities, institutions, and functionaries (political executives, office bearers, legislators, and officials) as they are the ones who perform these policy-making functions (Thornhill, 2012:138). Moreover, all these participants in the policymaking process have different personalities and different perspectives on policy goals and the policy process, and power in this process is gained through relationships that are developed (Aerni, 2013:18)

### **2.2.8.1.3 Policy implementation**

Policy implementation is a process that entails formulating objectives, planning, and programming and it later extends to carrying out the plans (Van der Waldt & Du Toit, 1999:211). The complexities of policy development can be identified as one of the reasons for the delay and complete failure of policy implementation. Failure of policy can also largely be attributed to issues of poor implementation of policies (Chelechele, 2010).

The distance of policymakers from actual practice not only causes problems for the manager of the policy, but also creates a lack of harmony amongst the different elements of the same policy (Chelechele, 2010). The effect of policy implementation must be viewed in relation to its impact on its implementers as well as its beneficiaries (Mokhaba, 2005). These are the factors that make the ongoing monitoring of implementation of policy to require commitment (Aerni, 2013).

### **2.2.8.1.4 Policy revision and consultation**

According to Lawson (1998:14), there will come a time when a policy manual will need revision and if it is a true revision, each item of the policy must be reviewed and approved once more, and this becomes an excellent period for the critical evaluation of the policy in general; however, there must be a process in place. Van der Waldt and Du Toit (1999:211) concur that once the policy has been implemented the policymaking process is not yet finished, but continuous analysis should take place to evaluate desirability and only thereafter should the necessary adjustments be made. In order to ensure the positive contribution of policies and procedures to an organisation, it is important that they are constantly updated to be in line with the organisation's strategy, business, and internal operations (Young, 2009:95).

A policy cannot be understood as a series of packaged stages, but as a process of gradual change and accretion. (Hudson & Lowe, 2009:7). More conscious awareness and culture about the competence of participants will be necessary in order to take further steps forward (Campagna, Montis, Isola, Lai, Pira, Zoppi, 2012:424). This process also requires the involvement of EAP practitioners should they need to add changes to the policy; hence, one must recognise that the policy change requires persistence and perseverance (Cummins, Byers and Pedrick, 2011). Policy revision is regarded as the most important process within the policy formation and implementation phases. In support of the argument by Young (2009), Kirkpatrick, Clarke, and Polidano (2002:43) state that regular policy revision ensures that policies operate in line with any changes within the organisation. Such revision does not only focus on changes within the organisation, but also global changes such as national and international labour legislation that organisational operations are based on (Kirkpatrick et al., 2003:43).

#### **2.2.8.1.5 Policy as an EAP Standard**

As an EAP standard, the goal of a policy is to ensure that the mandate, principles, and focal areas of the EAP are fair, consistent, and balanced in the interest of all stakeholders (Standards Committee of EAPA-SA, 2010:6). As a legitimate guideline framework for consistent application, the motive of a policy remains in it being a clearly written document that provides EAP practitioners/ professionals with the rules and regulations of EAP practice (EAPA-SA, 2010:6).

According to the EAPA-SA Standards document (2010), a policy should have clear and specific mandates which create a comprehensive and attractive EAP easily accessible to users, outline the confidential nature of EAP activities, protect the

interests of all stakeholders, and align EAP services with organisational strategy. Furthermore, a policy should make provision for matters such as employee demographics, job security while attending EAP activities, the availability of the policy in different languages, and issues of confidentiality and recordkeeping (EAPA-SA, 2010:6).

In conclusion, policy and process should be developed together to ensure that the policy has a mechanism for implementation (NTC policies, 2007:1). To ensure that a public policy is successfully implemented, there is a need for a guide to implementation (Mokhaba, 2010). In order to ensure that all policies are carried out on a daily basis, complete and thorough operating procedures should be documented and communicated to the appropriate staff (Young, 2009:95).

#### **2.2.8.2 Operational guidelines (standard operating procedures)**

A standard operating procedure (SOP) is a set of written instructions that document a routine or repetitive activity that is to be followed by an organisation. It provides individuals with the information required to perform a job properly, and it facilitates consistency in the quality and integrity of a product or end-result (US - EPA, 2007:1). Procedures are written documents providing specific “how to” information and will normally be developed by the office responsible for the administration of a policy (Planning Unit, 2005:2). They should contain details on specific actions to be taken for the effective management and control of risks in organisations (Young, 2009:95).

The benefits of SOPs are that they minimise variation and promote quality through the consistent implementation of a process or procedure within the organisation, regardless of whether there are temporary or permanent personnel changes (US - EPA, 2007:1). FEMA (1999:39) suggests that SOP development is most effective

when a well-planned, standardised and comprehensive process is followed. Conversely, SOPs created hastily and following an unsystematic approach are more likely to result in problems during implementation. Emener et al. (2003:190) warn that the policy statement should not be confused with operating procedures because procedures need to be adjusted in response to emerging needs and they should not be incorporated into a policy document that is difficult to modify.

The objective of this standard is to provide specific guidelines for the EAP practitioner regarding core technologies and standards and their unique application in each organisation (Standards Committee of EAPA-SA, 2010:6). EAP procedures must include position descriptions which clarify roles, define responsibilities and tasks to be performed, and summarise qualifications, experience, skills, and knowledge required (EAPA Standards Committee Standards, 2010:13).

Emener et al. (2003:190) concur that the intention of this standard is to develop clearly defined administrative policies and procedures to ensure a smoothly functioning and effective EAP. Clearly defined, written procedures help to ensure the consistent and effective delivery of services (EAPA Standards Committee Standards, 2010:13). Furthermore, standardised procedures are easier to monitor and adapt to changing needs, and may protect the programme staff from being overextended. On the other hand, the EAPA–SA standards (Standards Committee of EAPA-SA, 2010:6) state that operational guidelines provide procedural and logistical guidelines for the implementation of the EAP according to the unique circumstances of the organisation. Procedure writers must ensure that they include enough detail to eliminate significant variations amongst workers (Standards Committee of EAPA-SA, 2010:8). The best approach to implementing SOPs depends on many factors, including the nature of the

required changes, the size and resources of the department, and management preferences (FEMA, 1999:49)

Similarly, SOPs can indicate compliance with organisational and governmental requirements, and can be used as part of a personnel-training programme as they provide detailed instructions and minimise opportunities for miscommunication (US - EPA, 2007:1). Standard operating procedures work best when they are designed to achieve specific results and the writer or designer must decide what business goals are to be set, achieved, and measured through better management with SOPs. How those goals will be measured is also important (Standards Committee of EAPA-SA, 2010:6).

According to the EAPA Standards Committee (2010:13), EAP procedures should describe important programme processes such as:

- Access routes for obtaining EAP services.
- Problem identification/assessment, referral, and short-term problem resolution processes.
- EAP participation in treatment planning, liaison with treatment providers, termination of care, follow-up, monitoring, and reports of non-compliance.
- EAP participation in the disciplinary process, if any, and procedures for supervisory referrals.
- EAP interaction and communication with leadership.
- Delivery of organisational services, such as training, consulting, and critical incident response.

### 2.2.8.2.1 Writing SOPs

SOPs should be written in a concise, step-by-step, easy-to-read format that presents the information in an unambiguous and not overly complicated way (EAPA Standards Committee, 2010:2). Procedures must clearly delineate the scope of work for administrative and operational duties, including both the qualitative and quantitative aspects (what, when, why, and how activities are performed) as well as how much of each activity is expected (EAPA Standards Committee, 2010:13). The clear presentation of SOPs is also supported by FEMA (1999:33), which pointed out the importance of using a logical and consistent form when writing SOPs. When writing standard operating procedures, managers can choose from a number of different ways of organising and formatting them. The goal is to create a document that is easy to understand and helpful for the work at hand (EAPA Standards Committee, 2010:3).

SOPs should be reviewed (validated) by one or more individuals with appropriate training and experience in the process, and should also be systematically reviewed on a periodic basis, e.g., every year or two years to ensure that the policies and procedures remain current and appropriate, or to determine whether the SOPs are even required (US – EPA, 2007:2). In the same vein, the EAPA Standards Committee Standards (2010:13) concur that procedures must be reviewed and updated periodically. Managers who write procedures without input from workers or technical advisers run the risk of upsetting the workers and producing a poorly written SOP (EAPA Standards Committee, 2010:6). SOPs are usually most effective when members of the organisation are included in every step of the development process. As a general rule departments should obtain input from all the groups potentially affected by the SOPs, and the modification of SOPs must be accompanied by a plan to implement the new procedure in the department (FEMA, 1999:34).

### **2.2.8.2.2 Benefits of SOPs**

SOPs can also be valuable for reconstructing project activities when no other references are available. In addition, SOPs are frequently used as checklists by inspectors when they are auditing organisational procedures. EAP procedures must include a position description which clarifies roles, defines responsibilities and tasks to be performed, summarises the qualifications, experience, skills, and knowledge required (EAPA Standards Committee Standards, 2010:13). Procedures should definitely include all the essential steps to be performed in the same way by all the workers. Finally, the benefit of a valid SOP is the reduction of work effort, along with improved comparability, credibility, and legal defensibility (US - EPA, 2007:2).

In conclusion, there are three main reasons why there should be a process in the practice of EAP services. Firstly, they treat the occupational social worker's actions holistically rather than separating the different aspects of what they do. Secondly, a process provides clarity as to what has to be done and how, taking into account the complexity of the connections between the different aspects of the situation which EAP practitioners or occupational social workers face in the workplace. Thirdly, process allows theory to connect with practice in a critical way, and the role of SOPs covers that through the implementation plan (Adams, Dominelli and Payne et al., 2005:29).

### **2.2.8.3 Implementation plan**

The implementation plan is a vital process in policy development as it establishes the EAP as an integrated service in the organisation, and ensures its successful roll-out (Standards Committee of EAPA-SA, 2010:7). In the Australian and New Zealand EAP standards it is also confirmed that a carefully considered and thorough implementation plan is a critical part of any EAP introduction (EAPA-A, 2011:6).

According to the Financial Stability Forum (2006), an implementation plan outlines the actions and schedule required when establishing an operationally effective EAP. The EAPA Standards Committee Standards (2010:12) also concur that an implementation plan should outline the actions needed to establish a fully functioning employee assistance programme, and set forth a time line for completion. The ability to predict what makes implementation successful assists policymakers in addressing social problems through improved policies and regulations, and anticipating likely barriers and planning for them (Roh, 2012:6).

The outline of a typical implementation plan should include promotion and education for managers/supervisors as well as all staff involved in the service, the name and contact information of the service provider, and activities aimed at enhancing efficiency (EAPA-A, 2011:6). Once plans have been drawn up they are implemented by carrying out certain activities at certain times, and sufficient support and resources will be key requirements for successful implementation (Van der Waldt & Du Toit, 1999:293).

#### **2.2.8.3.1 Implementation process**

A successful implementation process for EAP services in the South African context has been associated with the achievement of the following elements – as stated by the Standards Committee of EAPA-SA (2010:6) and discussed in the policy and operational guidelines and implementation section of this paper:

- A policy whose objective would be to create a legitimate framework.
- Operational guidelines to provide an operational framework for the EAP.
- The implementation plan, which must outline the actions and the schedule needed to establish an operationally effective EAP.

It is argued that the implementation plan standard should be reviewed annually during the evaluation process to determine the actions needed, the timeframe, resources, responsible person, performance indicators, and monitoring (Standards Committee of EAPA-SA, 2010:7). The argument raised in the Standards Committee of EAPA-SA (2010) is supported by Cloete and Wissink (2005:178) who state that implementation includes the many activities that take place after the statement of a policy, often at different levels (Cloete & Wissink, 2005:178). The notion of implementation being active following the statement of a policy is supported by Gerston (2010:60) who argues that implementation is the conversion of policy commitments into practice. The argument sees policymaking and implementation as components that work perfectly, without a hitch (Gerston, 2001:91).

Like any other process, implementation encounters a number of obstacles that negatively affect the outcome of what is being implemented. A study by Gerston (2001:91) highlights these obstacles as being created intentionally by ineffective processes and personnel who neglect and fail to synchronise cooperation. However, monitoring such obstructions during the implementation plan allows the implementation process to be more vigilant and better prepared to address such implications (Cloete & Wissink, 2005:177).

The implementation process therefore represents the conscious conversion of policy plans into reality, and signifies the completion of a policy cycle (Gerston, 2004:95). On the other hand, the absence of an implementation plan deprives the organisation the opportunity to demonstrate the value of the EAP programme (Govender 2009.115). In addition, an implementation plan acts as a guide through the first year of development and piloting to ensure that all the users such as programme managers and directors can be sure that programme intentions and goals are interpreted consistently by all

([www.hhs.gov](http://www.hhs.gov)). It can be said that the identification of the components necessary for implementation is in no way a barometer for success, but only points to the countless hurdles that must be overcome en route to fulfilling a policy objective (Gerston, 2004:95).

### **2.2.8.3.2 Approaches of implementation**

Cloete and Wissink (2005:166) states that there are three generations of scholarly thinking on the implementation questions that can be identified:

- The first “classical” generation of thinking once the subject began, assumed that implementation would happen automatically once the appropriate policies had been authoritatively proclaimed.
- The second generation set out to challenge this assumption, to explain implementation failure in specific cases, and to demonstrate that implementation was a political process no less complex (actually more so) than policy formulation.
- The third “analytic” generation has, by contrast, been less concerned with specific implementation failure and more with understanding how implementation works in general, and how its prospects might be improved.

These generations of scholarly thinking on implementation have shown an evolving understanding that the implementation process is not confined to putting a policy statement in action, but is also about evaluating the action being put in place, and whether it answers the need that a policy statement is set to address. Inasmuch as the implementation process relies on the above-mentioned approaches, successful implementation of EAP services does not rely on these approaches alone, but more

on the elements of the programmes set out in the EAPA-SA standards, including the methods of practices carried out by EAP professionals.

### **2.2.8.3.3 Project planning vs implementation plan**

Project planning involves identifying the tasks that have to be completed, estimating the time required, and allocating resources (Maiden, 2001:51). Planning is everything.

The objectives of the planning phase are threefold:

- To develop and understand the scope.
- To develop the integrated cross-project implementation plan.
- To submit and review the implementation plan (Milosevic et al., 2007:153).

After the project plan has been developed and approved, it becomes the road map to programme success (Milosevic et al., 2007:153). Lock (2007:85) maintains that a plan will always be needed if a project is to be finished on time.

The planning process is common to all projects, with eight points of subject matter such as scope, cost, time, human resource management, quality, communication, risk, and procurement. However, planning for quality deliverables and quality project management processes is also important (Ferraro, 2012:133). Similarly, Lock (2007: 9) confirms that project managers are expected to complete their project so that they satisfy the three primary objectives of time, performance, and cost. Identifying the deliverables to be completed by the project team and accepted by the customer team constitutes planning (Ferraro, 2012:133).

A good plan does the following:

- It lays out the entire scope of the project in a way that is easily understood and agreed upon by the key stakeholders and decision makers.

- It tells a simple story of how project work unfolds in a logical sequence.
- It identifies the key decision points and milestones that must be reached before additional work can proceed (Ferraro, 2012:32).

In the social work profession, when undertaking a planning task, occupational social workers have to employ a range of analytical and human relations skills such as assessment, design, and creative thinking review alongside the generic interpersonal skills of communication, negotiation, and motivational/enabling sustaining (Adams, Dominelli and Payne, Dominelli & Payne, 2005:56).

Although social work theorists in the UK have only relatively recently been particularly concerned with planning as part of the social work process, policy-makers and service providers have been applying the role of planning as a core functional aspect of every policy formation and implementation (Adams, Dominelli and Payne et al., 2005:56). Planning as a core task can be simply stated: it involves setting objectives to meet the needs and address the problems identified through the assessment process, followed by the development of a plan for intervention to realise those objectives (Adams, Dominelli and Payne et al., 2005:56).

#### **2.2.8.4 Implementation in EAP practice**

The UK–EAPA standards (2012:6) assert that an EAPs provide managed access to a range of experts such as in-house human resources (HR), welfare (social work), occupational health (OH) functions, and mental health professionals accessed through a single entry point and via a structured assessment of need that will provide support, guidance, and information on a wide range of work-related and personal issues that can affect work performance and attendance.

Practice can mean doing, or rehearsing, as in practice by a musician. It is argued that the social work practitioner engages in practice much as the musician does, for whom each performance is unique (Adams, Dominelli and Payne, Dominelli & Payne, 2005:7). For social work there is a continuing tension between practice and theory. The argument has been that theory is abstract and inaccessible and that it reduces spontaneity in helping people (Coulshed & Orme, 2006:7).

Since social work is part of an EAP service in seeking to address wider work-life balance issues within the organisation (UK–EAPA Standards, 2012:6), invariably social work leads to a concern for the complexity of the way all these things interact with users, their needs and wishes, policy and public objectives, reflecting and evaluating, continuity, and critique (Adams, Dominelli and Payne et al. (2007:7). The dilemma for social workers is that there are tasks to be performed and skills to be used, but prescriptions for the “what” and the “how” cannot be constructed in a vacuum (Coulshed & Orme, 2006:9). Empowering practice does not mean specific ways of intervening, but involves ways of thinking about all the situations in which social workers are practising (Coulshed & Orme, 2006:81).

The EAP profession has seen a growing need to develop solutions to guide and promote best practices in the employee assistance industry (EASNA, 2009:4). The Health Standards Working Group (2005:6) recognises standards alone cannot improve the quality of practice unless they are disseminated and implemented at practice level. Social workers practise at the macro and micro levels of health care and thus have the ability to influence policy change and development at the local, state, and federal (US) levels, and within systems of care (Health Standards Working Group, 2005:9).

### **2.2.8.5 Conclusion**

In summary, the process of implementing standards is a crucial process that oversees intensive mobilisation of resources and managing partnerships amongst the various players involved in the implementation process (Financial Stability Forum, 2006:14). Moreover, it stipulates the action required for the activation of the policy, the timeframe, resources required, allocation of roles and responsibilities, performance indicators, and monitoring techniques (Standards Committee of EAPA-SA, 2010:7).

It is evident from the literature study that implementation has important elements which cannot be ignored when setting up any programme in an organisation.

Effective policy practice involves learning how to apply core generalist practice skills (engagement, goal setting, planning, implementing, and monitoring progress) to larger social systems where the outcome is not individual client change, but larger system change in both laws and social conditions that will affect the lives of people (Aerni, 2013:8)

## CHAPTER 3

### Empirical investigation into the “implementation” category of EAPA-SA standards

#### 3.1 Introduction

A survey was carried out amongst EAP professionals registered with EAPA-SA as ‘individual members’ during 2014. The rationale for the survey was to determine whether EAPA-SA individual members practice according to the EAP standards as developed and supported by the EAPA-SA Board. The 2010 version of the Standards document by the EAPA-SA Standards Committee was used as a baseline document.

The results of the survey will be used for the revision of the 2010 version of the document, and certain parts of the results will be used by individual students for purposes of obtaining their master’s degrees in EAPs at the University of Pretoria.

The survey was launched under the supervision of Prof L.S. (Lourie) Terblanche from the Department of Social Work and Criminology, University of Pretoria. The participating students were: Ms Andiswa Lefakane, Mr Moses Kubheka, Ms Hlobokazi Caleni, and Ms Ephenia Monama.

#### 3.2 Research methodology

The questionnaire was developed by this group of researchers using Qualtrics IT software, and was piloted amongst the EAPA-SA Board members.

An electronic communication (email), providing a brief background and requesting registered individual members of EAPA-SA to participate in the online survey was distributed in early August 2014. A follow-up email was distributed with a link to the online questionnaire. Two additional reminder emails were distributed to encourage

participation. An informed consent letter was provided on the first page of the questionnaire, allowing a choice to participate or not.

Flick (2006:51) states that reviewing empirical literature should assist in answering questions such as:

- What are the methodological controversies?
- Are there any contradictory results and findings which can be taken as a starting point?

Although the survey had covered the total number of standards, the researcher focused only on data relevant to the category of standards pertaining to “implementation” to facilitate an understanding of the practice of the relevant standards, i.e. policy, operational guidelines and the implementation plan.

### **3.3 Research population and sampling**

#### **3.3.1 Population and sampling**

The EAPA-SA had roughly 300 registered members at the time of the survey, all of whom the researcher approached for participation in the survey. All registered “individual” members of EAPA-SA (217 in total) were approached and 194 emails were successfully delivered; no sampling was done, since large numbers are important in the context of a quantitative study.

#### **3.4 Data collection**

Kumar (2005:118) states that there are two major approaches to gathering information about a situation, namely person and problem phenomena. Based on these broad approaches they can be categorised as:

- Secondary data, e.g. documents.
- Primary data, e.g. observation, interviews, and questionnaires.

The researcher used the primary data-collection technique through a questionnaire with closed-ended questions. Babbie and Strydom (in De Vos, Strydom, Fouche & Delport, 2011:186) define a questionnaire as a document containing questions and/or other features designed to solicit information appropriate for analysis. The researcher sought to understand the manner in which the EAP is implemented against the EAPA-SA standards; the questionnaire therefore contained exploratory statements in the form of questions.

A questionnaire seemed to be the most appropriate way for data collection for this study since a large population was used. Although EAPA-SA members are spread across the entire South Africa, they were easily reached through electronic communication (online questionnaire). The questionnaire was developed by a group of four students working together in a group research project, as mentioned above. Each student was responsible for her/his own part of the questionnaire, depending on the topic allocated. The questionnaire was refined with the input of the Department of Statistics, University of Pretoria.

Sechrest (in Burstein, Freeman, and Rossi, 1985:59) states that a complete data-collection protocol will consist of the data-collection instrument itself, instructions on how to use it, possible supportive or other back-up materials, and instructions and procedures for overall conduct during data collection. The researcher followed this protocol to reduce any risks linked with the usage of the questionnaire as a data-collection instrument. Kumar (2005:116) cites three different ways of administering a questionnaire:

- A mailed questionnaire, provided one has access to all electronic addresses, accompanied by a cover letter; however, the challenge is usually a low response rate.
- Collective administration, where you have a captive audience such as students in a classroom, people attending a function, or people assembled in one place.
- Administration in a public place.

The researcher opted to distribute the questionnaire online through a link distributed by email to the EAPA-SA members, using the Qualtrics software. Emails were sent to members registered on the EAPA-SA database, requesting them to participate in the survey. Follow-up reminders were sent out twice.

With reference to validity of the data-collection instrument, Delpont and Roestenburg (in De Vos et. al., 2011:173-174) refer to content validity and face validity, which need to be established prior to data collection.

The data-collection instrument developed and applied in this study strongly correlated with the EAP Standards document (Standards Committee of EAPA-SA, 2010:6), a document with which all individual members of EAPA-SA are familiar as this is part of the documentation provided to all new members joining the EAPA-SA, and which is also available and accessible on the EAPA-SA website ([www.eapasa.co.za](http://www.eapasa.co.za)). As such, the instrument was relevant to measure those attributes relevant to the rationale of the study (Delpont & Roestenburg, 2010:174).

With reference to reliability, the following procedures, as quoted by Delpont and Roestenburg (in De Vos et. al., 2011:177), were followed:

- Increase the number of items or observations: these were built into the questionnaire, based on the EAPA-SA Standards document.
- Eliminate items that are unclear: questions were specific, once again based on the description of items in the standards document.
- Standardise the conditions under which the test will be taken: however, conditions could not be standardised, due to the questionnaire being distributed electronically; conditions could therefore not be controlled.
- Degree of difficulty: this level was not expected to be problematic; the questions focused on the daily practice of each of the respondents and were, in most cases, expected to give a definite “yes” or “no” in response to the questions asked.
- Standardisation of instructions: were given to both groups when completing the electronic format of the questionnaire.
- Consistency in scoring procedures and pre-test: was be complied to.

Criterion validity and construct validity are concepts relevant in this phase of data analysis. Delpont and Roestenburg (in De Vos, 2011:174) refer to them as “...multiple measurements which are established by comparing scores of the measuring instrument with an external criterion known (or believed) to measure the concept, trait or behaviour being studied.” Although no “multiple measurement” was planned in this study, “scoring” on benchmarking took place against existing EAP standards, as reflected in the Standards document of the EAPA-SA (Standards Committee of EAPA-SA, 2010).

### **3.5 Data analysis**

Quantitative data in professional research can be analysed manually or by computer (De Vos et. al., 2011:249). Data obtained through the online questionnaire was automatically captured once completed and submitted by the respondents.

Babbie (2001:385) confirms that most data analyses today are conducted with computers, with data stored electronically instead of on cards, paper, tapes, and the like. The advantage is that computer programmes can go beyond simple counting, and can provide sophisticated presentations of the results; they can also calculate complex statistics much faster and more accurately (Babbie, 2001:385).

### **3.6 Pilot study**

Bless, Higson-Smith, and Kagee (in De Vos et al, 2012:2) define a pilot study as a small study conducted prior to a large piece of research to determine whether the methodology, sampling, instruments, and analysis are adequate and appropriate.

In this research, a pilot study was conducted with the members of the EAPA-SA Board. They were given the questionnaire to assess the appropriateness of the contents of the instrument. However, they were not included in the group of 300 members in the survey.

### **3.7 Ethical issues**

Researchers who do not consider ethical issues are negligent in their responsibility to society (De Vos, 2011:127). The researcher deems the following ethical aspects relevant to this study:

- **Avoidance of harm:** Babbie (2001:522) argues that social studies should never injure the people being studied because the subjects can be harmed psychologically in the course of the study; for example, when asked to reveal deviant behaviour. In this instance, the respondents will be assured that the questions will not harm their professional reputation in any way.
- **Permission:** Written authorisation was obtained from the EAPA-SA Board.
- **An informed consent letter:** This was drafted and all respondents were requested to read and sign the informed consent letter, also signed by the researcher and fellow researchers. Obtaining informed consent implies that all possible or adequate information on the goal of the investigation, the expected duration of the participant's involvement, the procedures which will be followed during the investigation, the possible advantages and disadvantages and dangers to which respondents may be exposed, as well as the credibility of the researcher, will be rendered to the potential subjects or their legal representatives (De Vos, Strydom, and Delport, 2012:117). A protocol covering professional etiquette and a prescribed means of behaviour have been developed among benchmarking partners, which would ensure that there is fundamental knowledge and a purpose to the mission before seeking information, and perhaps wasting time in the process (Pybus, 2002:31).
- **Violation of privacy/anonymity/confidentiality:** According to Babbie (2001:521) the main concern in the protection of subjects' interests and wellbeing is the protection of their identities, especially in survey research.

In this study the respondents were informed of the purpose of the study: that it will be used for improving standards on implementation, and that their input will be treated confidentially. The questionnaire did not reflect the respondents'

identities. Anonymity of the respondents in the online survey was possible through the Qualtrics software. The identities of the employer companies, organisations, departments, or service providers remained anonymous; this was possible because all respondents participated in their capacity as individually registered EAPA-SA members, and not in their capacity as employees of specific companies or departments.

- **Actions and competence of researcher:** Researchers are ethically obliged to ensure that they are competent, honest, and adequately skilled to undertake any proposed investigation (De Vos, Strydom, and Delpport, 2012:123). The researcher gave background information of her own professional competence to support her actions in order to reassure the respondents. Hence, an explanation was given upfront that the study was done as a group research project under the auspices of the University of Pretoria and with the permission of the EAPA-SA Board.
- **Voluntary participation:** The manner in which questions were formulated implied that respondents had a choice to respond or not. It is suggested that participation should always be voluntary and no one should be forced or coerced to participate in a project; this was emphasised in the researcher's informed consent letter (De Vos, Strydom, and Delpport, 2012:116).
- **Debriefing arrangement:** This was arranged with one of the leading EAP service providers to debrief the participants who wished to be debriefed. After the completion of the project, the researcher rectified any misperceptions that may have arisen in the minds of participants. Debriefing sessions give the opportunity for that to be done (De Vos, Strydom, and Delpport, 2012:122).

- **Publication of the findings:** Babbie (2001:526) proposes that ethics relating to publishing involve the following specific issues:
  - Appropriate ascription of authorship.
  - Rejection of any form of plagiarism.
  - No simultaneous submission of manuscripts.

The respondents were advised that the recommendations would add value to the improvement of the EAP standards, and that the results, after being utilised for the revision of the existing EAP standards, would be published on the EAPA-SA website for reviews. Babbie (2001:527) postulates that scientists have a responsibility to report their research findings resulting from public funding in a full, open, and timely fashion to the scientific community. Although no public funding was involved, feedback will be provided to the population, since they will be the future implementers of the recommendations.

### **3.8 Empirical data**

#### **3.8.1 Demographic data**

Emails were sent to the 217 registered individual members. A total number of 23 emails bounced back as undelivered, meaning that addresses might have been inactive or incorrect, or where an “auto reply” was the only response. The actual number of successfully delivered emails was 194.

From these 194 questionnaires, 91 responses were submitted to the online data base. From the 91, another 27 questionnaires had to be removed as part of data cleaning. The total number of completed questionnaires utilised for analysis was 64. This reflects a response rate of 33%. All questionnaires were duly scrutinised to ensure

that the contents could be used in the data analysis. All questionnaires which took less than 20 minutes to complete were removed. A minimum duration of 45 minutes for proper completion was suggested as necessary after the pilot test. All the questionnaires identified for removal were individually checked, and a strong correlation was found between the lesser amount of time spent and the incompleteness of the questionnaires. In some cases only the first question (consent to participate) was answered.

The reader's attention is drawn to the fact that the total number of respondents (n) may vary due to some questions allowing for multiple responses. Questions left unanswered are indicated as "missing data".

### 3.8.1.1 Gender of participants (Question 2)

**Table 1: Gender distribution**

<b>Gender of participants</b>	<b>Response n = 64</b>	<b>%</b>
<b>Male</b>	20	31%
<b>Female</b>	43	67%
<b>Missing data</b>	1	2%
<b>Total</b>	64	100%

**Discussion:** As indicated in table 1, the majority of the participants were female.

### 3.8.1 2 Duration of work history as a professional person (Question 3)

**Table 2: Duration of work history as professional person**

<b>Duration of work history as a professional person</b>	<b>Response n = 64</b>	<b>%</b>
0 - 5 years	4	6%
6 - 10 years	18	28%
11 - 15 years	16	25%
16 - 20 years	11	17%
More than 20 years	15	24%
<b>Total</b>	<b>64</b>	<b>100%</b>

**Discussion:** The study was highly presented by participants with working experience of between six (6) and fifteen (15) years.

### 3.8.1.3 Duration of work history as EAP practitioner/professional (Question 4)

**Table 3: Duration of work history as an EAP practitioner/professional**

<b>Answer</b>	<b>Response n = 64</b>	<b>%</b>
0 - 5 years	18	28%
6 - 10 years	25	39%
11 - 15 years	15	24%
16 - 20 years	6	9%
More than 20 years	0	0%
<b>Total</b>	<b>64</b>	<b>100%</b>

**Discussion:** The single largest group (39%) who had been working as EAP professionals, had experience of between 6 and 10 years. As such, views shared in this report can be seen as the views of professionals fairly well experienced as EAP practitioners.

### 3.8.1.4 Indicate the sector where you are currently employed (Question 5)

**Table 4: Indication of the sector where respondents are employed**

<b>Answer</b>	<b>Response n = 64</b>	<b>%</b>
Public sector	47	74%
Private sector	6	9%
Private practice full-time	2	3%
Employed by EAP service provider	2	3%
Public sector with part-time private practice	2	3%
Private sector with part-time private practice	0	0%
Other (please specify)	4	6%
Missing data	1	2%
<b>Total</b>	<b>64</b>	<b>100%</b>

**Discussion:** The data indicates that the majority of respondents were working in the public sector and the minority worked full-time in private practice.

## 3.9 EAPA-SA Standards document

### 3.9.1 Awareness of the EAPA-SA Standards document (Question 7)

**Table 5: Awareness of EAPA-SA Standards document amongst EAPA-SA members**

<b>Awareness of the EAPA-SA Standards document</b>	<b>Response n = 64</b>	<b>%</b>
Yes	60	94%
No	4	6%
<b>Total</b>	<b>64</b>	<b>100%</b>

### 3.9.2 Use of the EAPA-SA Standards document (Question 8)

**Table 6: The usage of the EAPA-SA Standards document**

Answer	Response n = 64	%
Never	7	11%
Daily	12	19%
Weekly	8	13%
Monthly	13	20%
Quarterly	19	29%
Missing Data	5	8
<b>Total</b>	<b>64</b>	<b>100%</b>

### 3.9.3 Lack of consultation of the EAPA-SA Standards document (Question 9)

**Table 7: Reasons for lack of consultation of the EAPA-SA Standards document**

Answer	Response n= 7
I was not aware of the EAPA-SA Standards document	1
I do not have access to the Standards document	2
The Standards document is impractical	2
Other, add comments	8
<b>Total</b>	<b>13</b>

Note: Only seven respondents indicated that they never consulted the EAPA-SA Standards document of whom 4 indicated lack of awareness. In providing reasons, multiple responses were possible.

**Discussion:** The data shows that the majority of respondents had other reasons why they do not use the EAPSA-SA Standards document, apart from the one provided in the data-collection tool.

**Table 8: General comments regarding the utilisation of the EAPA-SA Standards document**

<b>General comments regarding the utilisation of the EAPA-SA Standards document (Themes identified)</b>
<p><b>Positive comments</b></p> <ul style="list-style-type: none"> <li>• Clear guidelines, practical, easy reference, user friendly, guides professional conduct, principle orientated.</li> <li>• Assists in the process of implementation.</li> <li>• Suitable for benchmarking of own EAP with practice supported by EAPA-SA.</li> <li>• Instrument for quality control.</li> <li>• Mediation should be acknowledged as one of the EAP standards.</li> <li>• All EAP practitioners should have access to a copy of the standards</li> </ul>

**Table 9: A comparison between the frequent utilisation of the EAPA-SA Standards document and the duration work history as an EAP practitioner/ professional (Question 8 and Question 4)**

Frequency of use	How long have you been working as an EAP practitioner/professional?						Total
	0-5 years	6-10 years	11-15 years	16-20 years	More than 20 years	Missing data	
Never	1	2	2	2	0		7
Daily	3	7	2	0	0		12
Weekly	3	3	1	1	0		8
Monthly	4	4	5	0	0		13
Quarterly	6	6	4	3	0		19
Missing data						5	5
<b>Total</b>	<b>17</b>	<b>22</b>	<b>14</b>	<b>6</b>	<b>0</b>	<b>5</b>	<b>64</b>

**Discussion of Table 5, Table, 6, Table 7, Table 8 and Table 9 regarding the utilisation of the EAPA-SA Standards document:** The vast majority of EAPA-SA members are aware of the existence of the EAPA-SA Standards document. The expectation, however, is that one hundred percent of members should be aware of the Standards document. Seven respondents indicated that they do not consult the

Standards document; although a relatively low response, this is still somewhat alarming.

It seems as if the number of years of work experience does not impact on the frequency of use of the Standards document. However, it seems that EAPA-SA members with less experience (0-10 years) do make use of the EAPA-SA Standards document on a more frequent basis.

### **3.10 The Implementation standards**

#### **3.10.1 EAP Policy**

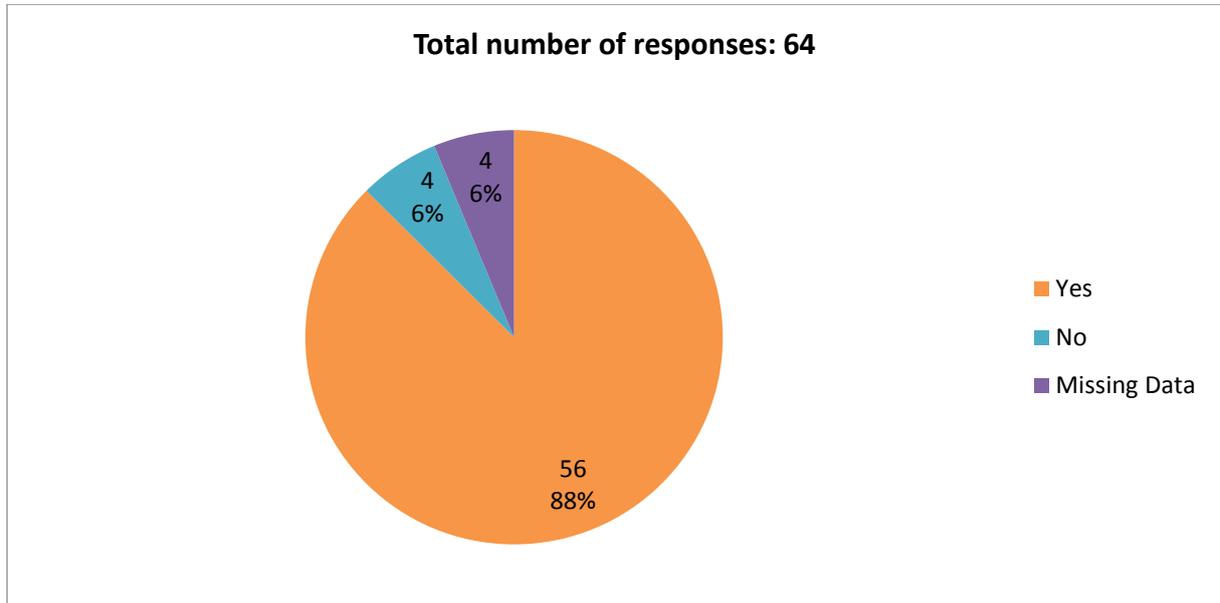
##### **3.10.1.1 Existence of an EAP policy in place (Question 26)**

(Note: Due to the fact that the researcher's study did not cover all the sections contained in the questionnaire – which was commonly developed and utilised – the question numbers do not follow a chronological order.)

In exploring the goal of this study, which is benchmarking the nature of the implementation standards as applied in South African EAPs against the EAPA-SA Standards, the study firstly investigated the existence of an EAP policy in the workplace of the respondents. Their responses were as follows.

**Figure 3.1: EAP policy in place**

n= 64



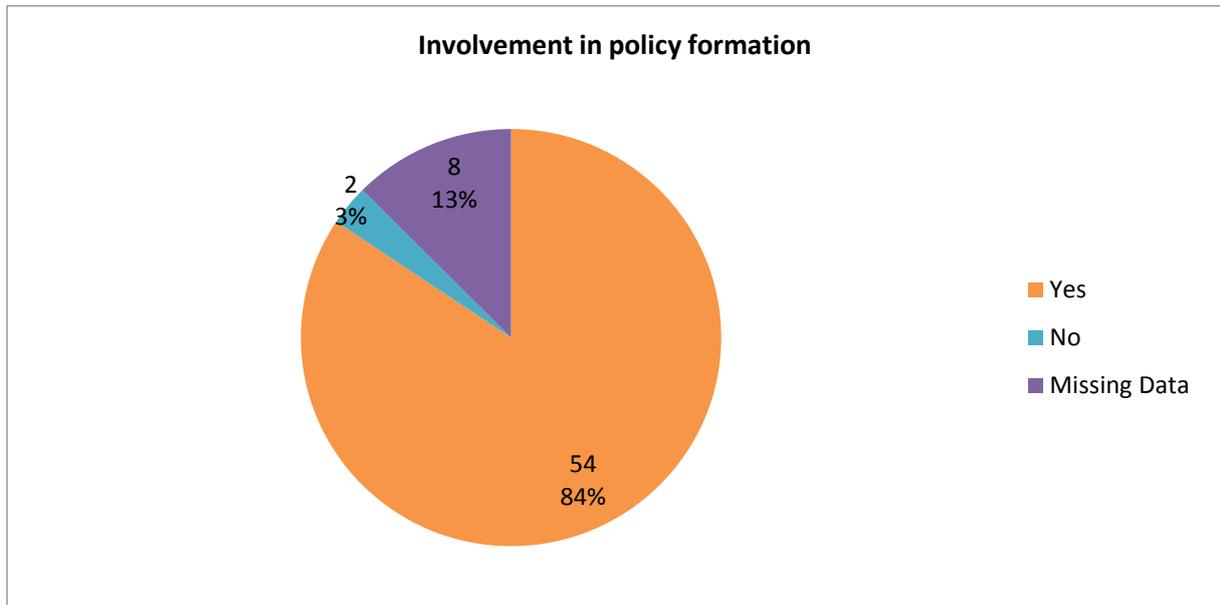
**Discussion:** As indicated in figure 3.1, the data shows an impressively high number of fifty-six (88%) out of sixty-four EAP practitioners/professional confirming the existence of the EAP policy in the workplace. Moreover, the data was presented with missing data of four (6%) respondents from the total respondents, resulting in the decrease in the respondents' value. The response is expected of members who are part of the EAPA-SA body of membership in support of the Standards document.

### 3.10.1.2 Participation in the EAP policy formulation (Question 27)

The discussion covered in chapter 2 highlighted the importance of EAP practitioner/professionals in the development or formation of EAP policies since such involvement goes a long way towards achieving the goals and objectives of the EAP policy. The study also investigated the involvement of EAP practitioners/ professionals in the formation of their workplace EAP policy. The data obtained from the study objective is interpreted as follows:

**Figure 3.2: The involvement of EAP practitioners/professionals in policy formation**

n= 64



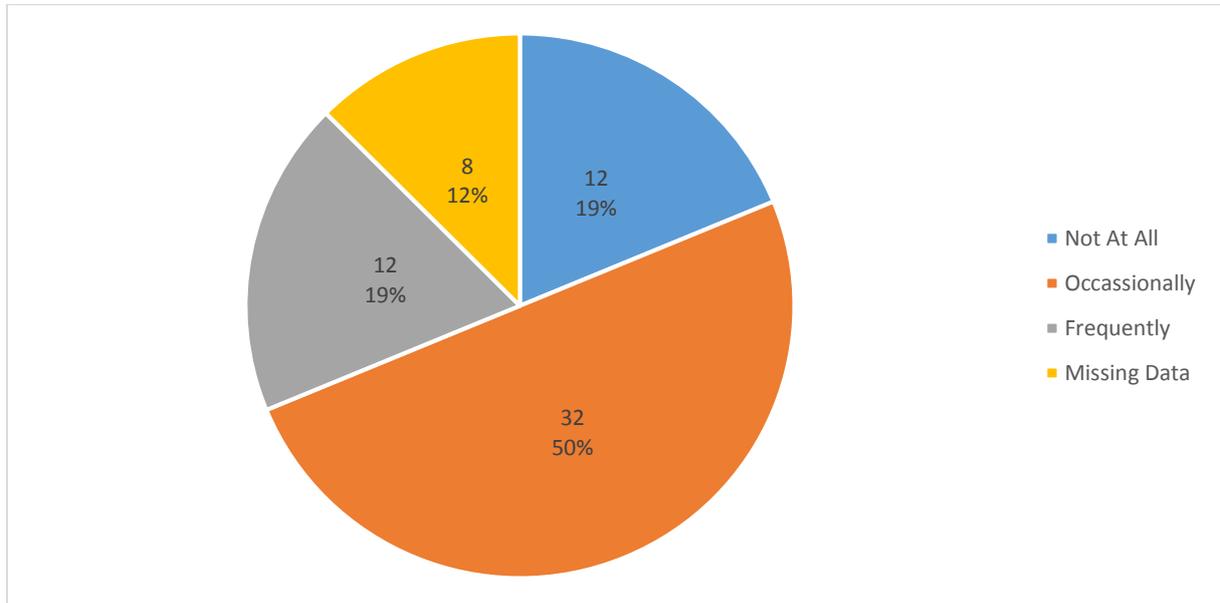
**Discussion:** A large majority of the study respondents reported that they are involved in the formulation process of the EAP policy at the workplace – a total of fifty-four (84%), compared to a minority of two (3%) respondents who reported not to be involved in the process. The data is most surprising in the sense that some stakeholders have evidently been overlooked during the policy formulation process as it could have occurred at another level, one at which they had not been present.

### 3.10.1.3 Frequency of policy revision (Question 28)

As discussed previously in chapter 2, frequent revision of the policy allows stakeholders to identify limitations in the provision of EAP services and to design new methods of strengthening existing working intervention (EAPA Standards Committee, 2010). The study's respondents shared their answers in the question asked as follows:

**Figure 3.3: Frequency of policy revision**

n = 64



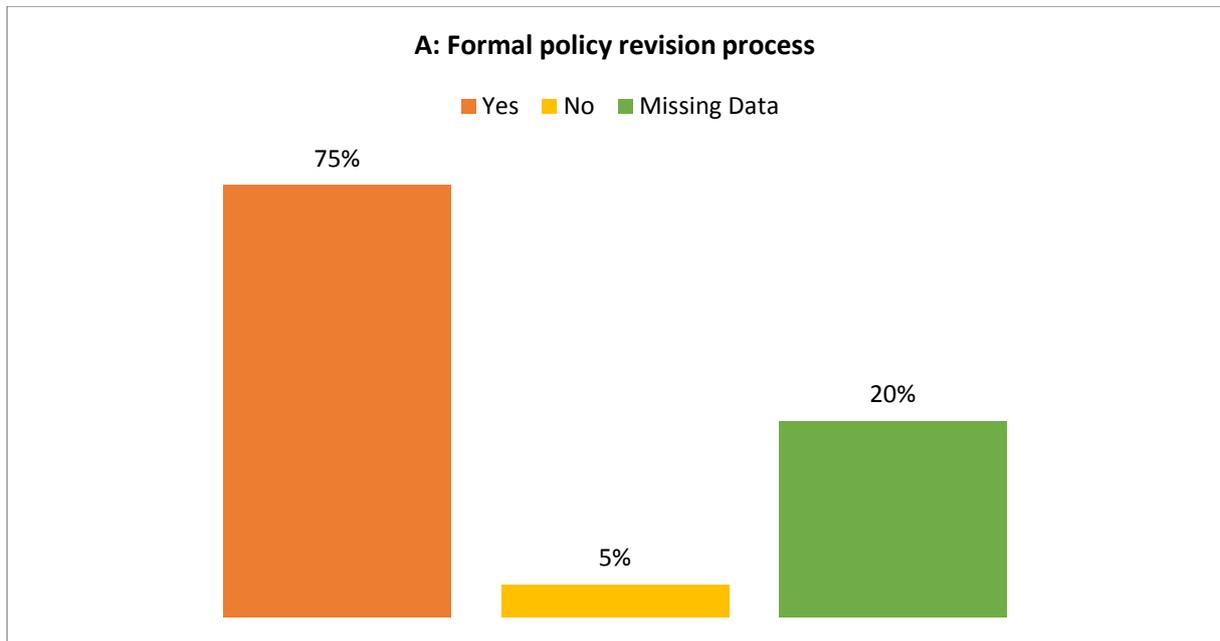
**Discussion:** The data collected as shown in figure 3.3 points out the greater proportion of thirty-two (50%) of the study's respondents reported that they occasionally revise their EAP policy in their respective workplaces. An interesting minority response of twelve (19%) from the study' respondents shows an alarming tendency towards non-revision of the EAP policy.

#### **3.10.1.4. Formal process when revising the policy (Question 29)**

The formal process when revising a policy is consistent with the one followed during the policy development process, which includes consultation and involvement of relevant stakeholders. As discussed in chapter 2, such consultation and involvement of relevant stakeholders remain a vital addition in the revision of a policy (Gerston, 2004). The study also requested respondents to share whether a formal process was followed during their EAP policy revision; their responses are illustrated as follows:

**Figure 3.4: Formal revision process**

n = 56



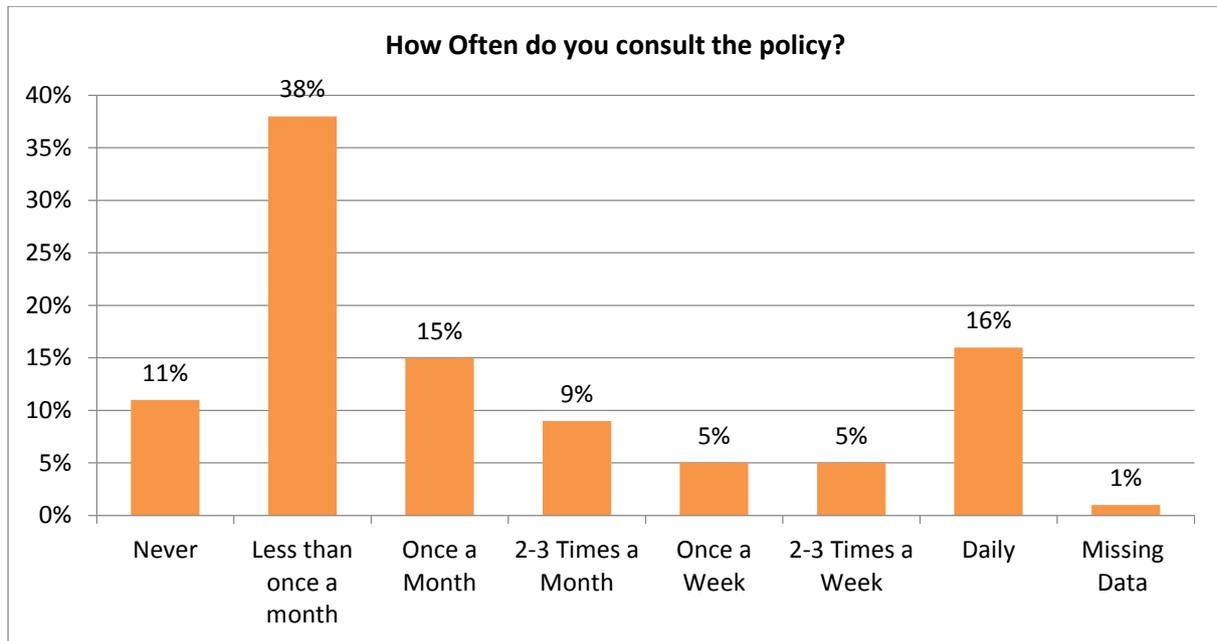
**Discussion:** The majority, forty-two (75%) of the respondents, followed a formal policy revision process, and a minority of three (5%) denied following such a process. This picture is not far removed from the one depicted in figure 3.2 which illustrates the responses to question 27, the respondents' participation in the formation of the policy thus qualifying that even at policy revision level the EAPA-SA members are still incorporated.

### 3.10.1.5 Frequency in policy consultation (Question 30)

As discussed in chapter 2, Gerston (2001) states that policy consultation limits obstacles which contribute to ineffective processes, and personnel who neglect and fail to synchronise cooperation. In exploring the important role played by policy consultation in the effective implementation of EAP practices, respondents were asked about the frequency in policy consultation conducted at their workplace. Their responses were analysed as follows:

**Figure 3.5: Frequency of policy consultation**

n = 56



**Discussion:** As illustrated in figure 3.5, from the fifty-six respondents who reported to have a policy, fifty-five answered this follow-up question on consultation. The data collected displays a majority of twenty-one (38%) respondents who reported that they consult the EAP policy once a month with a minority of three (5%) respondents who reported that they consult the policy two or three times a week.

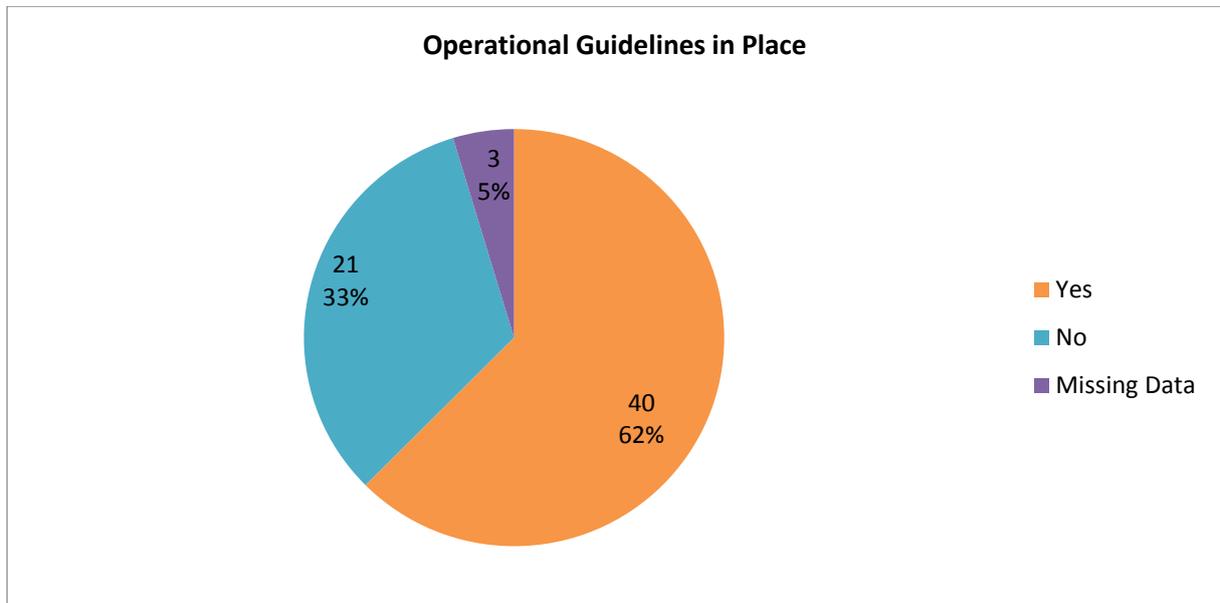
### 3.10.2 Operational guidelines

#### 3.10.2.1 Existing operational guidelines, SOPs (Question 32)

As cited in Grusenmeyer ([sa]:6), the use of SOPs is an integral part of a successful quality system as it provides individuals with the information to do a job properly. As such, exploring existing operational guidelines was also significant in this study, and respondents were asked if they had operational guidelines in place for the EAP in their workplace. Their responses are documented and discussed as follows:

**Figure 3.6: Operational guidelines in existence**

n = 64



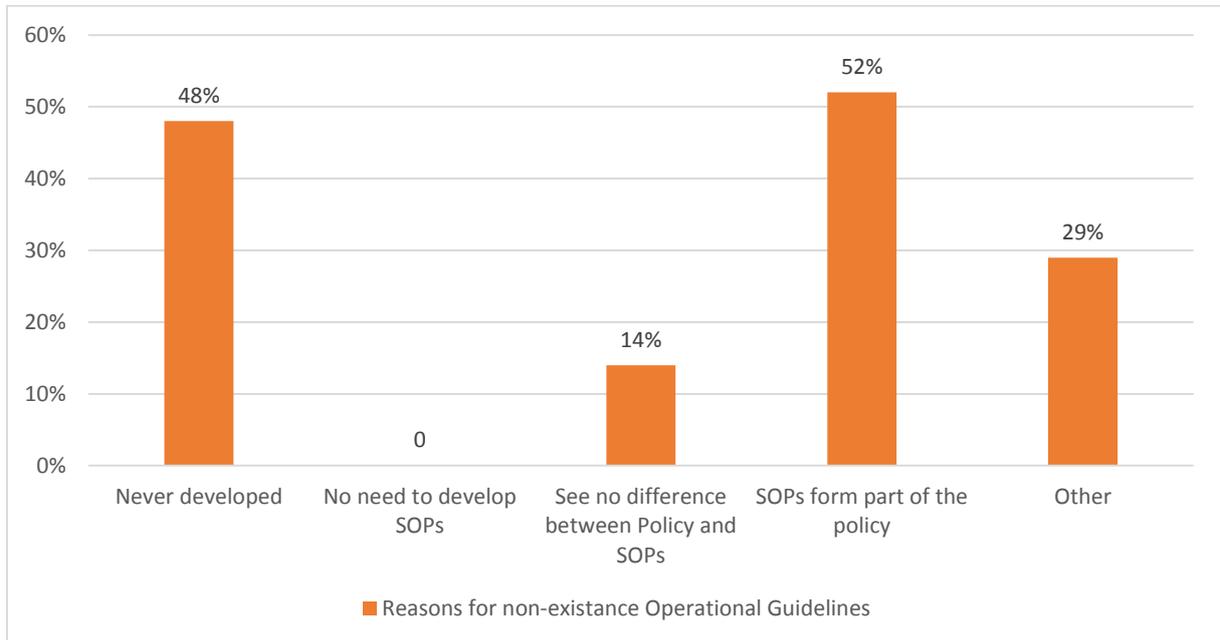
**Discussion:** As specified in figure 3.6, forty (62%) respondents reported that they have operational guidelines in place for the EAP. Although this majority confirmed the existence of operational guidelines, it is still a concern that one-third operates their EAPs without having operational guidelines in place, inferring that their policies are not being broken down for the day-to-day operation of the EAP.

### 3.10.2.2 Reason for non-existence of operational guidelines (Question 33)

According to the discussion covered in the literature review of this study, operational guidelines are developed to operationalise the EAP policy (EAPA-SA, 2009:6). As such, the study seeks to explore the reasons for the non-existence of operational guidelines for EAP. The following responses were identified from the collected data:

**Figure 3.7: Reasons for non-existence of operational guidelines**

N = 21



Note: More than one response was possible.

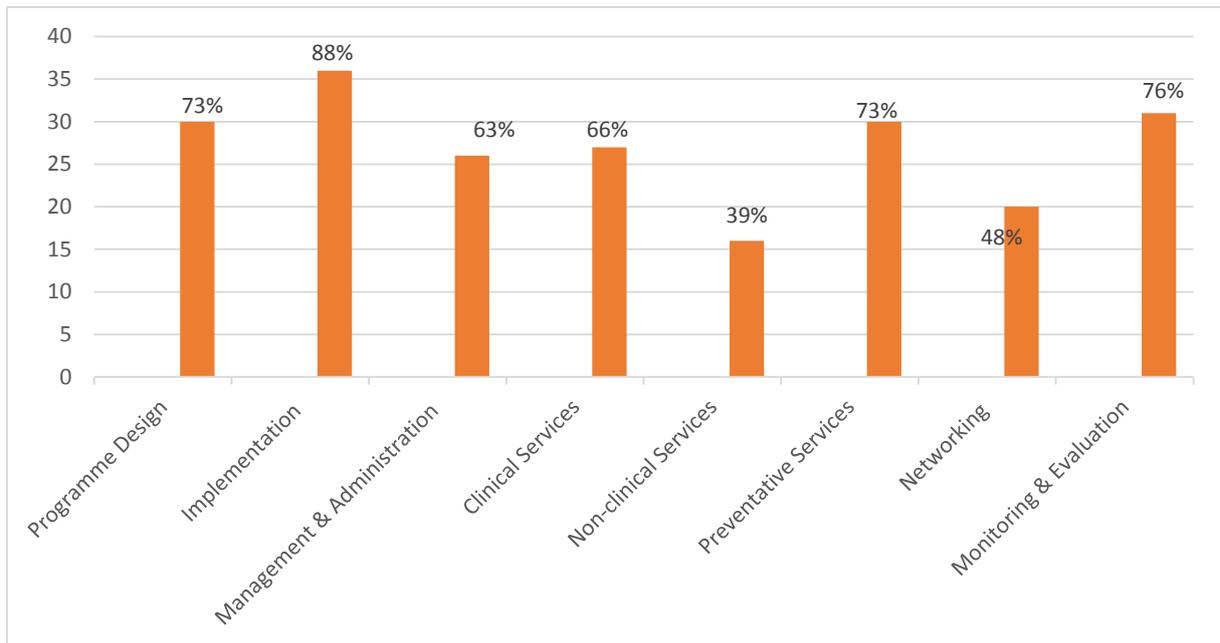
**Discussion:** From figure 3.7 it is evident that twenty-one (34%) respondents did not have operational guidelines in place, and five reasons were identified as leading causes for such non-existence. A majority of eleven (52%) respondents pointed out that SOPs form part of the policy, ten (48%) stated that SOPs were never developed at all, and a minority of three (14%) saw no difference between the policy and SOPs.

### 3.10.2.3 Categories of EAP standards in operational guidelines (Question 34)

The study further explored the categories of EAP standards discussed in detail in the literature review, and covered in the operational guidelines in place for the EAP. Respondents were asked to indicate the categories covered in their operational guidelines from the eight EAP standards categories mentioned on the data-collection tool utilised for this study. Their responses were documented and interpreted as follows:

**Figure 3.8: Categories of EAP standards covered in the operational guidelines**

n = 41.



**Discussion:** Forty-one (64%) of the 64 respondents responded to this question that required respondents to indicate the categories of EAP standards that are covered in their operational guidelines. As is evident from the data collected and illustrated in figure 3.8, the forty-one responses showed a high number (thirty-six - 88%) of responses indicating implementation as an EAP standard covered in the SOPs, with a minority of sixteen (39%) of respondents indicating non-clinical services covered in the SOPs.

**Please note that Question 35 was the respondent's comments on the questionnaire.**

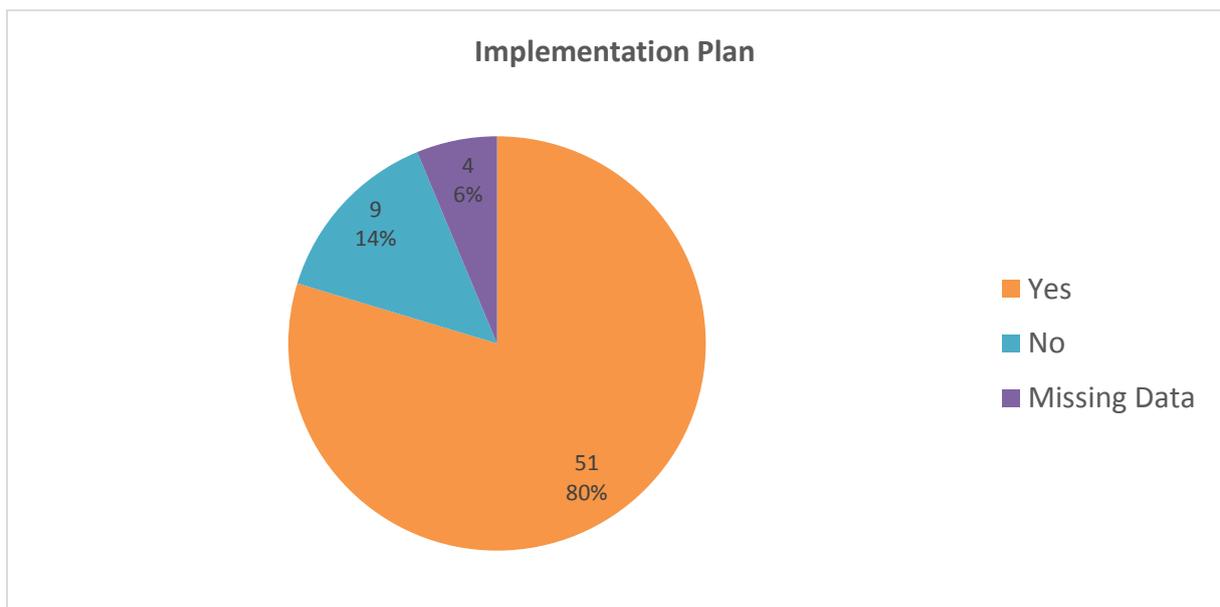
### 3.10.3 Implementation plan

#### 3.10.3.1 Existence of an implementation plan (Question 36)

As discussed in the literature review of this study, implementation converts policy commitment into practice (Gerston, 2010:60) and thus requires an effective, detailed plan to be executed. Hence, this study also explored the existence of an implementation plan in the organisation’s EAP practice. The respondents were asked whether their EAPs had an implementation plan, and their responses are documented as follows:

**Figure 3.9: Existence of an implementation plan.**

n = 64



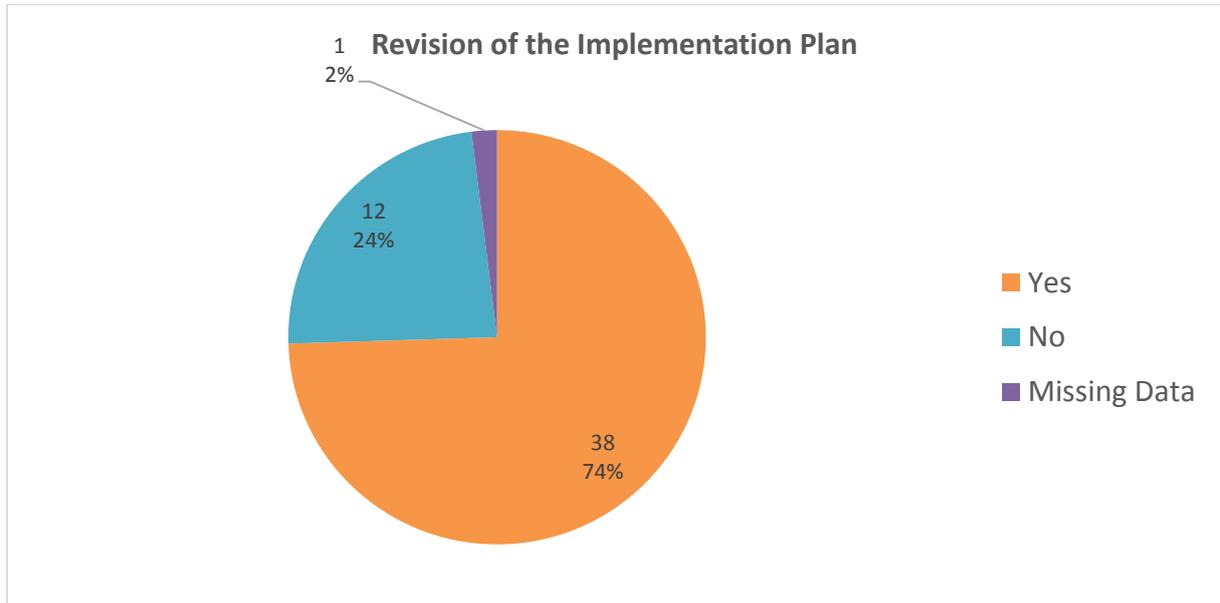
**Discussion:** As presented in figure 3.9, a large majority of fifty-one (80%) respondents reported that they do have an existing implementation plan. This is indeed commendable on the part of the EAPA-SA membership.

### **3.10.3.2 Regular revision of implementation plan (Question 37)**

The revision of an implementation plan assists EAP practitioners/professionals in channelling actions, behaviour, decisions, and practices in directions that promote good strategy execution, as discussed by the Planning Unit (2005:2) (literature review of the study). Respondents were asked about the frequent revision of the implementation plan, and their responses are documented and illustrated as follows:

**Figure 3.10: Regular revision of implementation plan**

n = 51



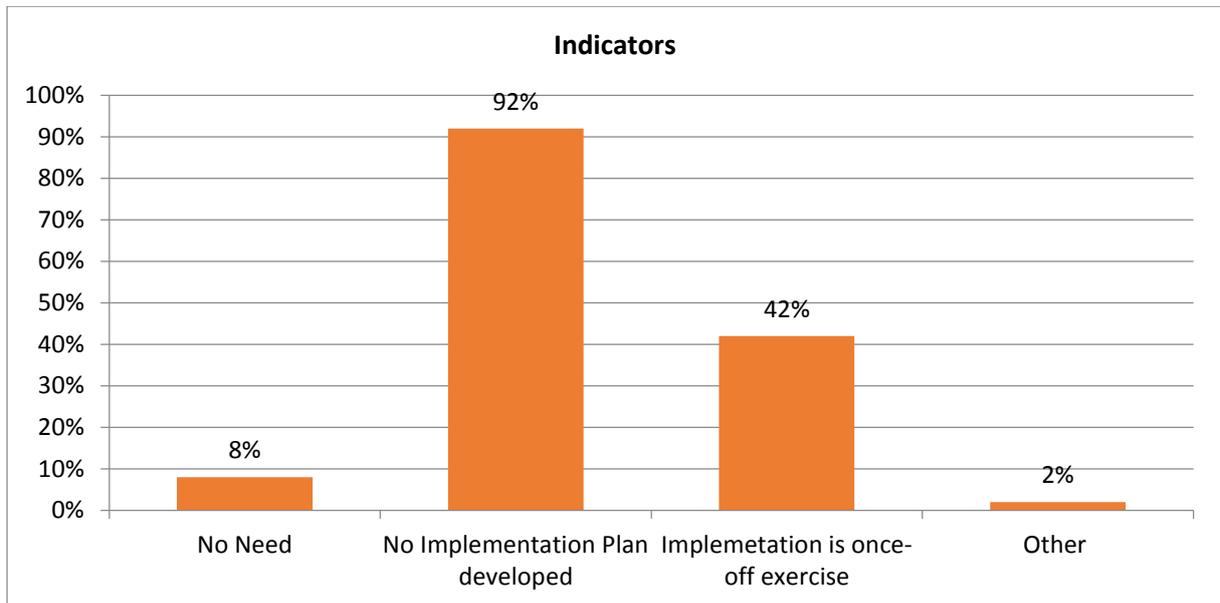
**Discussion:** Of the fifty-one respondents who confirmed that they do have an implementation plan in place, a majority of thirty-eight (74%) confirmed that the plan is in the process of being revised. The minority of twelve (24%) respondents indicated that the implementation plan is not being revised. This tendency cannot be taken lightly as these are all members of a professional body which dictates categorically the period of revision (as mentioned in chapter 2).

### 3.10.3.3 Reasons for the lack of revision (Question 38)

As a follow-up exploratory question regarding the study's rationale, the researcher further explored the underlying reasons of the absence of frequent revision of the EAP implementation plan. Participants were asked to indicate the primary reasons that led to the absence of frequent revision of the EAP implementation plan. The responses are illustrated as follows:

**Figure 3.11: Reason for the lack of revision**

n = 12



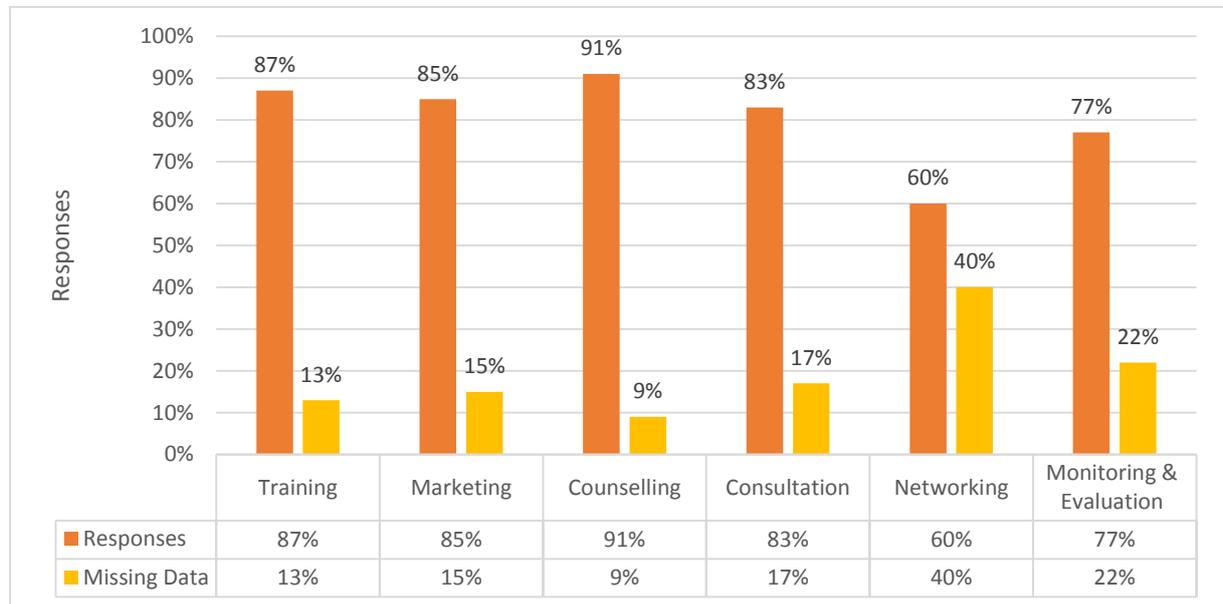
**Discussion:** The data collected shows that eleven (92%) respondents indicated that there was no implementation plan developed within their EAP practice, with a minority of one (8%) who indicated that there was no need to revise the EAP implementation plan. The researcher is of the opinion that this respondent may be one of the seven who initially confirmed that they do not consult the standards at all.

### 3.10.3.4 Implementation plan: action in respect of EAP core technologies (Question 39)

The study further explored the six actions prescribed by the existing EAP implementation plan. In line with the study's objective, respondents were asked to indicate whether the implementation plan provides for actions in respect of the following EAP core technologies: training, marketing, counselling, consultation, networking, monitoring, and evaluation. The respondents' replies are illustrated in the graph below.

**Figure 3.12: Implementation plan provides for action in respect of the following EAP core technologies**

n = 53



**Discussion:** According to the data collected, fifty-three of the sixty-four respondents replied to the question which required them to indicate which EAP core technologies are provided with actions by the implementation plan. There was a positive response on the EAP technologies, with only the networking technology being the lowest indicated EAP technology with only 32 (60%) responses.

## CHAPTER 4

### Key findings, conclusion, and recommendations

#### 4.1 Introduction

As mentioned in chapters 1 and 3, the respondents in this study are members of the EAPA-SA who, by virtue of their membership, are expected to apply the standards in their daily practice. The EAPA-SA also arranges annual conferences which most of these members attend with the aim of uplifting the standard of professionalism and keeping abreast of international best practices through the calibre of speakers that are invited. For the past two years (2013-2014) the EAPA-SA standards have been made part of the topic discussed at these conferences. These respondents are part of the regional chapters that also encourage continuous professional development, as dictated by EAPA-SA standards. It is against this contextual premise that the views of respondents are measured. The key findings, conclusions, and recommendations which follow from this empirical study will be provided. These are the standard of implementation (with its individual standards), policy, operational guidelines, and implementation plans. The sub-standards had follow-up questions which the researcher saw fit to highlight as they provide insight into the responses and assist in arriving at logical conclusions.

#### 4.2 EAP policy

From the data collected to ascertain the existence of the EAP policy in practice it was evident that a significant number of respondents confirmed the existence of an EAP policy, and this supports the statement made by Emener et al. (2003), namely that policy plays a vital role in the practice of any profession. Furthermore, the Standards

Committee of EAPA-SA (2010) alludes to the fact that policy ensures consistency in the application of EAP rules and regulations and that it provides operational guidelines.

#### **4.2.1 Key findings**

- Eighty-eight percent (88%) of the participants who responded to the question whether they have an EAP policy in the workplace confirmed their awareness of the importance of practising with an EAP policy in place as it is a cornerstone of an EAP to achieve its goals.
- Six percent (6%) represented four respondents who answered that they have no EAP policy in place. This raises a concern as to the formulation and provision of EAP services by the respective organisations. As discussed in Maiden (2001:108), the absence of an EAP policy impacts negatively on the service delivery and assessment of employees' and organisations' EAP needs.
- This question seems to have narrowed the participants' responses as some of them acknowledged that they had a wellness policy in place instead. They regarded the EAP and wellness policies as two different documents.
- The respondents also mentioned that their policy was not yet operational as it had not yet been authorised by the head of the department.

#### **4.2.2 Conclusion**

The researcher believes that a number of respondents may have failed to differentiate between an EAP policy and a wellness policy, and therefore focused their attention on that which is familiar to them, namely a wellness policy. This limitation brings about a debate over the difference between wellness and EAP policies through which organisations formalise their employee wellness intervention programmes.

Most EAP practitioners/professionals do indeed practise with a policy in place, even though the existence of these policies are often hampered by the different levels they have to go through during the formulation phase; this was also mentioned in chapter 2 (Thornhill, 2012:138).

It can therefore be concluded that the reason why many public sector respondents refer to a wellness instead of an EAP policy is because the policy-making strategy of the Department of Public Service and Administration was to change the EAP policy into a four-pillar wellness management policy.

### **4.2.3 Recommendations**

From the various comments made by the respondents it is evident that some of them are operating without clear-cut policies as a number of policies are still in draft form and have not yet been approved. The researcher recommends that the standards should clearly stipulate that no programme should take effect without a clear policy in place. This standard can also be added to the checklist of roles to be monitored by the advisory committee.

## **4.3 Participating in EAP policy formulation**

Having established that these members of the EAPA-SA have EAP policies in place, it was then imperative to assess whether these were part of policy formulation as this is crucial for the development and implementation of a realistic EA programme.

### **4.3.1 Key findings**

- This assessment presented positive results as the majority of respondents (fifty-four [54] out of sixty-four [64]) were in harmony with this question (see figure 3.2); this finding shows a progressive direction for an EAP practitioner/professional in

the South African context. Consistent with previous studies, it is argued that a policy designed without meaningful stakeholder engagement may be more difficult to implement because it does not consider the needs of the organisation, nor does it engender buy-in and ownership from those who will implement or “benefit” from the policy (Taking the Pulse of Policy, 2010:5).

- Eight (8) members of the EAPA-SA, which translates to 13% (thirteen percent), did not respond at all to this question.

EAP practitioners/professionals play a major role in the service delivery of EAP interventions, guided by any EAP policy; therefore, as stated by Roh (2012:6), the involvement of relevant stakeholders, such as EAP practitioners/professionals, allow the goals and objectives of an EAP policy to be achieved.

#### **4.3.2 Conclusion**

It was apparent that there is a positive correlation between the existence of a policy and participation of EAP practitioners/professionals in policy formulation. This implies that organisations recognise EAP practitioners as an integral part in policy formulation and policy development.

#### **4.3.3 Recommendations**

As buy-in is a key aspect in the process of policy development, it is imperative that EAP practitioners/professionals be included at the development level of their own policy because they are critical stakeholders. In accordance with this finding, the standards should dictate that no policy should be developed without the involvement of the EAP practitioner/professional as it would be beneficial to organisations to have meaningful and practical EAP policies. This will assist with continuity when one EAP

person leaves a particular organisation as the replacement would find a policy that they can relate to since it would have been developed by a fellow colleague in the profession.

#### **4.4 Frequency of policy revision**

Policy revision serves as a guideline to programme implementation which can imply that if revised often, it gives the opportunity for the EAP to align with the organisational strategy. A similar view of policy revision allowing the EAP to align with the organisation's strategy is evident in the EAPA-SA Standards document (2010: 6).

##### **4.4.1 Key findings**

- It is apparent from the findings in this study that EAP policies are not revised at all by some members of the EAPA-SA, as shown by the nineteen percent (19%) of respondents. This behaviour can negatively impact the provision of EAP services as well as the allocation of budgets to EAP interventions in the business world. As cited in Matlhape (2003:29), despite the growth of the EAP in South Africa, it still remains on the periphery of real business activities and is often regarded as a “nice to have” rather than as a business imperative.
- The findings further reflect a significant number of respondents (fifty percent [50%]) who state that their policies are revised only occasionally.
- It appears that these EAP professionals/practitioners do not view the frequent revision of the policy as a “must do” responsibility; this view was shared by one of the respondents on “added comments”.

#### **4.4.2 Conclusion**

Policies are not revised often by the majority of EAP practitioners/professionals; however, there are a few who do so occasionally.

#### **4.4.3 Recommendations**

The researcher recommends that there must be a stipulated timeframe documented in the standards for the policy to be reviewed as this would serve as a guideline for all EAP practitioners.

### **4.5 Formal process when revising the policy**

#### **4.5.1 Key findings**

- An impressive seventy five percent (75%) confirmed that they follow a formal process when revising the EAP policy; however, the findings show a decline when compared to the finding in the formal process followed when formulating an EAP policy (see figure 3.2).
- The data further indicates a total of five percent (5%) responses demonstrating a negative form of revising a policy. This does not include consultations and representation of relevant stakeholders in this process. As indicated in chapter 2 (Lawson, 1998:14), in future policy manuals will need revision and in order to facilitate an accurate revision, each item of the policy will have to be revisited and approved anew.

#### **4.5.2 Conclusion**

There are many EAPA-SA members who do indeed follow a formal process of policy revision despite the fact that such a process is not stipulated by EAPA-SA standards.

### **4.5.3 Recommendations**

It is recommended that all the stakeholders should sign off on a policy after it has been revised as that would ensure that the procedure of following a formal process is not ignored and is inclusive of all the relevant stakeholders.

## **4.6 Frequency in policy consultation**

The aim of this follow-up question is directed at investigating the number of times the EAPs consult the policy in practice.

### **4.6.1 Key findings**

On a scale that examines the consultation process over a period of one month, respondents shared the following information:

- A majority of twenty-one respondents (38%) reported that they consult the policy less than once a month, followed by nine (16%) who consult the policy daily.
- Furthermore, the study found that six of the study respondents (11%) reported that they never consult the policy. This is alarming as such lack of consultation may be the result of denial or ignorance of the importance of the role of a policy in the functionality of the EAP.

Policy consultation plays a major role in the implementation of EAP services; moreover, it serves as a tool to remind professionals/practitioners how they should implement and evaluate their services and contributions to organisations. As stated in Gerston (2001), policy consultation limits obstacles which may contribute to ineffective processes and personnel who neglect and fail to synchronise cooperation.

## 4.6.2 Conclusion

The majority of EAPA-SA members consult the policy less than once a month. Based on the evidence attained from this study when comparing the number of working years and EAP policy consultation, it can be argued that the number of working years or experience may influence the behaviour of EAP practitioners when it comes to policy consultation. This argument was, however, supported by only one of the respondents who said that *in a mature environment the policy does not need to be frequently consulted*.

## 4.6.3 Recommendations

It is recommended that the policy should be consulted on a regular basis – but not less than once a month.

## 4.7 Operational guidelines

### 4.7.1 Existence of an operational guideline, SOPs

From the responses to the demographics question in chapter 3, it transpired that forty-nine (49) of the sixty-four (64) participants (the total population of this study) are employed in the public sector. It seems that the four-pillar strategy of the Department of Public Service and Administration (DPSA) has a bearing on the development of SOPs as it was clear that sixty-two percent (62%) of respondents confirmed having SOPs (see figure 3.6). As a follow-up question, the study explored the reason/s for the non-existence of operational guidelines from those respondents who reported to have none in place; these are discussed below.

### **4.7.2 Key findings**

The study observed the following regarding the non-existence of operational guidelines in EAP practices:

- A high percentage, namely forty eight percent (48%) of respondents reported that SOPs were never developed.
- Followed by fifty-two percent (52%) who reported that SOPs formed part of the policy.
- The respondents also added comments such as “saw no need” – an alarming view from a registered EAPA-SA member. This signifies a gap in the profession which needs urgent attention.

### **4.7.3 Conclusion**

It is evident that despite the fact that the standards prescribe that SOPs should be used to operationalise policy, there is still a significant number of EAP practitioners who have not developed SOPs; this signifies a gap in the understanding of the difference between policy and SOPs.

### **4.7.4 Recommendations**

- The standards should have templates attached to demonstrate the typical format of an SOP.
- The advisory committee should monitor the development of this standard during the policy formulation phase.

## **4.8 Categories of EAP standards covered in the operational guidelines**

The study further attempted to identify the categories of EAP standards covered in the operational guidelines, and the findings are as follows:

### **4.8.1 Key findings**

- From the responses to this question it was noteworthy that the members covered all the categories of the EAP standards, with implementation being the highest at eighty-eight percent (88%) in the operational guidelines.
- Non-clinical services, on the other hand, were at the lowest, which is thirty-nine percent (39%). These are the categories that assist the EAP practitioner when delivering the programme, and also contribute to the effective management thereof.

### **4.8.2 Conclusion**

- All the EAP categories of the standards in the operational guidelines are weighted equally important for the effectiveness in the implementation of EAP services. The study has found a positive response in the utilisation of these categories, although the non-clinical services standard remains critical.

### **4.8.3 Recommendations**

It is recommended that the individual-standards as part of the non-clinical standard (i.e. organisational consultation, EAP training, and marketing), identified as the least-utilised category by the study participants, be incorporated in departments, such as the marketing and training departments, that perform similar functions when compared to the functions of the non-clinical standard. Such incorporation can be achieved when EAP practitioners/ professionals forge strong relationships with the above-mentioned

departments in order to obtain support and skills development in applying the standard.

## **4.9 Implementation plan**

### **4.9.1 Existence of an implementation plan**

#### **4.9.1.1 Key findings**

- It was a significant finding that fifty-one (51) out of sixty (60) (i.e. 80%) affirmed that there is an implementation plan, which is in line with the EAPA-SA standards – a commendable effort by this professional body.

#### **4.9.1.2 Conclusion**

The implementation plan plays a crucial role in planning, measuring, and determining the timing for the successful completion of the EAP programme, as mentioned in chapter 2 (Lock, 2007:85). The high percentage of responses is indicative of growth in the profession when compared to the study by Govender (2012:115) where she found that sixty-six percent (66%) of EA practitioners have implementation plans (discussed in chapter 2).

#### **4.9.1.3 Recommendations**

The EAPA Standards Committee standards (2010:12) infer that successful implementation encourages “ownership” by all sectors of the workforce, and the implementation plan must address all essential components of the standards, including an extensive and continual promotional, informational, and educational strategy. It is therefore recommended that the implementation plan must be seen as

the “charter” of the EAP, and this message can be disseminated during conferences, training, and chapter meetings.

#### **4.10 Regular revision of implementation plan**

##### **4.10.1 Key findings**

- Even though revision has the benefit of looking at lessons learnt and therefore adjusting tasks that worked or did not work, there was a minority of respondents who did not express that understanding – as was proven by the twenty-four percent (24%) who confirmed a lack of revision of the implementation plan.
- In the respondents’ comments, time was cited as the reason for a lack of revision.
- However, there was a majority of seventy-four percent (74%) who revised the implementation plan regularly.

##### **4.10.2 Conclusion**

It is clear that implementation plans are not revised on a regular basis by some members, as prescribed by the Standards Committee of EAPA-SA. Regular revision of these implementation plans is crucial as this would drive continuous improvement on the delivery of the EA programmes because what was not addressed during a particular year could be included in the plan for the following year.

##### **4.10.3 Recommendations**

EAP practitioners will only be able to improve on the weaknesses of an implementation plan through revision when any gaps or discrepancies can be identified. In order to address the issue of time constraints, a template can be developed by employing all core technologies available to enable EA practitioners to chart utilisation of the programme and to pinpoint sections that have not been covered. Since the

respondents have already identified lack of time as a limiting factor with regard to revision, the standards could perhaps focus on revision of those objectives of the plan that were not achieved as anticipated.

#### **4.11 Reasons for the lack of revision of the implementation plan**

An important part of this study is to expose the realities on the ground that EAP practitioners have to contend with; hence, most questions probed the reasons why certain actions were not performed.

##### **4.11.1 Key findings**

- Ninety-two percent (92%) indicated the lack of a developed implementation plan as a reason – which makes revision impossible.
- Formulation of an implementation plan is seen as a once-off activity.

##### **4.11.2 Conclusion**

The implementation plan is seen as a once-off activity and not something to be revised or renewed. This implies that the respondents are not familiar with what this standard stipulates.

##### **4.11.3 Recommendations**

It is recommended that regular revision of the EAPA-SA standards implementation plan should be done through workshops at chapter level, because an EAP professional keeps up with the latest trends in EAP services and operations and learns critical information for the job by participating in EAPA chapter meetings and webinars (EAPA Standards Committee, 2010). Reminders by the EAPA-SA Board through its

website as well as through platforms such as social media could be useful in keeping interested parties apprised of developments.

## **4.12 Implementation plan: action in respect of EAP core technologies**

### **4.12.1 Key findings**

- All core technologies are covered in the implementation plan.
- Networking is the least provided for, and yet networking provides EAP practitioners/professionals a platform of networking with various internal and external stakeholders in order to create strategic partnerships for responding to employees and organisational needs (Standards Committee of EAPA-SA, 2010:17).
- Counselling is provided for in the implementation plans as shown by the ninety percent (90%) majority response.

### **4.12.2 Conclusion**

An implementation plan that covers all the core technologies reflects the true commitment and partnership spirit of a practitioner in promoting organisational effectiveness, although clearly counselling seems to be the most favoured. On the other hand, the researcher has established that the EAPA-SA member response was low in networking, which may result in low attendance of chapter meetings.

### **4.12.3 Recommendations**

- Due to its importance, networking and other core technologies should be covered equally in the implementation plan as this would ensure an increase in activities to promote networking and its expected spin-offs.

## **4.13 Recommendations for the updating of the EAPA-SA standards**

### **4.13.1 Policy**

- EAP policy should be the main agenda item in core technology training and development, and should include components such as the referral procedure.
- During EAP training, trainees should be coached to quote the policy verbatim, as is done with Acts in the legal profession.
- Policy revision should be mentioned under the “criteria” heading in the standards.

### **4.13.2 Standard operating procedures**

- Standard number six (6) of the EAPA-SA standards should add a clause that dictates that “a policy without the SOPs is incomplete.”
- The outline of the Standards document should also specify essential components and give typical examples, as is done in the EAPA Standards of the United States.

### **4.13.2 Implementation plan**

- The implementation plan must be adopted as the charter of the EA programme as it is key in ensuring that EA practitioners are not distracted by other activities during the course of the year.
- The finding of low networking should be discussed at platforms such as the EAPA-SA annual conference, and should also be a topic that is addressed and discussed at various EAPA-SA forums. Since the EAP in South Africa is still in an emerging phase, networking is central to the growth of EAP knowledge and to discovering benchmarks for practice.

#### **4.14 Concluding summary**

The researcher discovered from the demographics that the majority of participants (53%) have been working between 6 and 15 years. Only 6% of the respondents have less than five years' experience. This informs the level of maturity of the respondents in the EA field.

It is not surprising, from the findings of this study, that the EAPA-SA standards seem to be understood fairly comprehensively and are well applied in practice. This is supported by the average percentages of the responses found under the individual-standards, policy, operational guidelines, and implementation plan. The fact that eighty-eight percent (88%) of respondents confirmed that they covered the implementation standard under SOPs, also supports this notion.

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## **ANNEXURES**

Annexure A: Authorisation letter of EAPA-SA

Annexure B: Letter by Ethical Committee

Annexure C: Copy of informed consent letter

Annexure D: Data-collection instrument (questionnaire)

Annexure E: Declaration for the storage of research data

Annexure F: Example to demonstrate difference between policy and operational guideline.

# **Annexure (A)**

## **AUTHORIZATION LETTER OF EAPA-SA**

# The Employee Assistance Professionals Association of South Africa

PO Box 11166; Hatfield, Pretoria, 0028  
admin@eapasa.co.za  
www.eapasa.co.za



18 July 2013

Supervisor: Group Research Project  
Department of Social Work and Criminology  
University of Pretoria  
PRETORIA  
0002

Dear Prof Terblanche

## **PERMISSION FOR GROUP RESEARCH PROJECT: EAP MASTERS STUDENTS**

I wish to refer to your letter requiring authorisation by the EAPA-SA Board for the group research project on the EAPA-SA EAP Standards – dated 21 May 2013.

The EAPA-SA Board hereby grants permission to the following students, registered for either of the following programmes at the Department of Social Work and Criminology, University of Pretoria:

### **MSW (EAP) or M Soc Sci (EAP):**

- A Lefakane
- M Kubheka
- E Monama
- H Caleni
- M Mogashoa.

Permission is granted based on the information as was provided in your letter, regarding the title, goal and objectives of the group study – although it is understood that each student's study will be acknowledged and forms part of his/her individual academic requirements.

Permission also provides for the practical assistance from the administrative officer of the Board, regarding:

- assistance in the process of adding the link to the EAPA-SA website and communication with members electronically;
- EAPA-SA webmaster, to upload the electronic version of the questionnaire to an identified website approved for purposes of the envisaged survey; and

No costs will be covered by the EAPA-SA Board, unless such costs had been approved prior to the actual costs being paid. As such any **costs** incurred by this request, will be paid by the students or another approved source.

Possible benefits for EAPA-SA as a voluntary association, can be summarised as follows:

- results will provide a proper indication of the current status in the application of EAPA-SA Standards in the field of the EAP
- benchmarking will be possible between best practices and the prescribed EAPA-SA standards, which could result in a more focused application of the EAPA-SA Core Technologies.
- Results could be used in the revision of the 2010-version of the EAPA-SA EAP-Standards.

It is also confirmed that the respondents approached for data, will all be EAP professionals registered with EAPA-SA in the category 'Individual member' and will participate in the study in the mentioned capacity. As such no additional permission needs to be obtained from employers of individual EAP professionals – as data will be based on the EAPA-SA membership and the application of the EAPA-SA EAP standards.

As such a copy of the final report/s is required.



---

Tshifhiwa Mamaila  
EAPA-SA President

# **Annexure (B)**

## **LETTER BY ETHICAL COMMITTEE.**



3 July 2014

Dear Prof Lombard

**Project:** Implementation standards: practices in South African  
Employee Assistance Programmes benchmarked against  
EAPA-SA Standards  
**Researcher:** AP Lefakane  
**Supervisor:** Prof LS Terblanche  
**Department:** Social Work and Criminology  
**Reference number:** 12332578

Thank you for the application that was submitted for ethical consideration.

I am pleased to inform you that the above application was **approved** by the **Research Ethics Committee** on 3 July 2014. Data collection may therefore commence.

Please note that this approval is based on the assumption that the research will be carried out along the lines laid out in the proposal. Should the actual research depart significantly from the proposed research, it will be necessary to apply for a new research approval and ethical clearance.

The Committee requests you to convey this approval to the researcher.

We wish you success with the project.

Sincerely

**Prof Karen Harris**  
**Acting Chair: Postgraduate Committee &**  
**Research Ethics Committee**  
**Faculty of Humanities**  
**UNIVERSITY OF PRETORIA**  
**e-mail:Karen.harris@up.ac.za**

Research Ethics Committee Members: Dr L Blokland; Prof M-H Coetzee; Dr JEH Grobler; Prof KL Harris (Acting Chair); Ms H Klopper; Dr C Panebianco-Warrens; Dr Charles Puttergill; Prof GM Spies; Dr Y Spies; Prof E Taljard; Dr P Wood

# **Annexure (C)**

## **COPY OF 'INFORMED CONSENT LETTER'.**

## INFORMED CONSENT FORM

Participant's Name: ANDISWA PETUNIA LEFAKANE

Date: ...18.1.2013

Principal Investigator:

Name: Prof L S Terblanche

Institution: University of Pretoria

Address:

### Informed Consent

1. **Title of Study:** *Implementation standards: Practices in South African Employee Assistance Programmes benchmarked against EAPA-SA Standards*
2. **Purpose of the Study:** The purpose of this study is to investigate
3. **Procedures:** The testing will take approximately 1 to 2 hours. All testing will be scheduled at my convenience.
4. **Risks and Discomforts:** There are no known medical risks or discomforts associated with this project, although I may experience fatigue and/or stress when taking these tests.
5. **Benefits:** I understand there are no known direct medical benefits to me for participating in this study. However, the results of the study may help researchers gain a better understanding of how we learn and recall information about other people.
6. **Participant's Rights:** I may withdraw from participating in the study at any time.
7. **Financial Compensation:** I will be/will not be reimbursed R 00\_\_\_ per hour for my participation and R 00\_\_\_ or any travel expenses.
8. **Confidentiality:** In order to record exactly what I say in the tests, a tape recorder will be used. The tape will be listened to only by the Principal Investigator and authorized members of the research team at  
N/A
9. I understand that the results of testing will be kept confidential unless I ask that they be released. The results of this study may be published in professional journals or presented at professional conferences, but my records or identity will not be revealed unless required by law.
10. If I have any questions of concerns, I can call \_(Student's name) Andiswa Lefakane at (083) 579 1192 at any time during the day or night.

I understand my rights as a researcher subject, and I voluntarily consent to participation in this study, I understand what the study is about and how and why it is being done. I will receive a signed copy of this consent form.

\_\_\_\_\_  
Subject's Signature

\_\_\_\_\_  
DATE

  
\_\_\_\_\_  
Signature of Investigator

## 14. SUBMISSION DETAILS

### RESEARCHER / APPLICANT

Name in capital letters: ANDISWA PETUNIA LEFAKANE

Signature: ..... DATE: 18/11/2013

### STUDY SUPERVISOR

I am of the opinion that the proposed research project is ethically acceptable

Ethical Implications

No ethical implications

Name in capital letters: .....

Signature: ..... DATE: .....

### CHAIR: DEPARTMENTAL RESEARCH COMMITTEE

Name in capital letters: PROFESSOR RINA DELPORT

Signature: ..... DATE: .....

### HEAD OF DEPARTMENT

Name in capital letters: PROFESSOR ANTOINETTE LOMBARD

Signature: ..... DATE: .....

### CHAIR: FACULTY RESEARCH ETHICS COMMITTEE

Name in capital letters: PROFESSOR SAKHELA BUHLUNGU

Signature: ..... DATE: .....

*With acknowledgement to Harvard University 1999-2000, and the University of the Witwatersrand 1992*

# **Annexure (D)**

## **DATA COLLECTION**

### **INSTRUMENT (QUESTIONNAIRE)**

Informed consent form

Block Options

Q1.1

**SURVEY ON EAP STANDARDS**

You are invited to participate in the survey following this introduction and informed consent letter. It will take between 40 and 45 minutes to complete the questionnaire. Completed responses are automatically saved and allow any participant to proceed at a later stage with the total completion, without losing information already provided. Please do not complete the questionnaire more than once.

The goal of the project is to explore, through benchmarking against EAPA-SA standards, the practices of EAP professionals with regard to different EAP standards.

This survey is part of a group research project launched by four students, registered for a master's programme in EAPs offered by the Department of Social Work and Criminology at the University of Pretoria. The supervisor of these four students, is Prof Lourie Terblanche, previously President of EAPA-SA and the programme manager of the mentioned master's programme. The students involved are: Ms Andiswa Lefakane, Mr Moses Kubheka, Ms Hlobokazi Caleni and Ms Ephenla Monama.

This research project is carried out in close co-operation with the EAPA-SA Board. Written permission had been obtained from the President of EAPA-SA in order to request all registered individual members of EAPA-SA to participate in this survey in their own capacity as EAP practitioners.

In order to participate in the survey, every participating member of EAPA-SA is required to give informed consent – which can be done by clicking on the relevant button at the end of this page.

Participation in this project is subject to valid registration as an individual member of EAPA-SA, which is confirmed by the fact that you have been approached to participate. However, participation is voluntary and anonymous and responses can in no way be linked to the respondent or his/her employer. Data will at all times be handled in a confidential manner.

The researchers wish to thank you for your time and valuable input towards improvement of the EAP practice in South Africa.

- I disagree to participate in the survey
- I agree to participate in the survey

If I disagree to participate I... Is Selected, Then Skip To End of Survey

Demographic Details

Block Options

Q1.2

What is your gender?

Male

Female

Q2.2

How long have you been working as a professional person?

0 - 5 years

6 - 10 years

11 - 15 years

16 - 20 years

more than 20 years

Q2.3

How long have you been working as an EAP practitioner/professional?

0 - 5 years

6 - 10 years

11 - 15 years

16 - 20 years

more than 20 years

Q2.4

Indicate the sector where you are currently employed

- Public sector
- Private sector
- Private practice full-time
- Employed by EAP Service provider
- Public sector with part-time private practice
- Private sector with part-time private practice
- Other (please specify

Q2.5

If you are currently not involved in EAP practice, shortly explain your job contents and/or job title.

General Information

Back Options

Q3.1

Are you aware of the EAPA-SA Standards document?

Yes

No

If No is Selected, Then Skip To End of Block

Q3.2

Indicate how frequent you make use of the EAPA-SA Standards document.

Never

Daily

Weekly

Monthly

Quarterly

Q3.3

If you do not consult the EAPA-SA Standards document, please select most relevant reason

- I was not aware of the EAPA-SA Standards document
- I do not have access to the Standards document
- The Standards document is impractical
- Other, add comments

Q3.4

Add general comments regarding the utilisation of the EAPA-SA Standards document, if needed

EAP Programme Design Advisory (EAP-Middlesex Universities) (Continued)

Back Options

Programme Design: Organizational Profiling (2020/2021) [edit]

Block Content

Programme design: Service delivery models and procedures (2020/2021)

Block Content

Programme design: Creating models (1) (2020/2021) [edit]

Block Content

Implementation of the EAP Policy [edit]

Block Content

Q8.1

Do you have an EAP Policy?

Yes

No

If No Is Selected, Then Skip To Add comments regarding Policy if needed

Q8.2

Was an EAP practitioner/professional part of the Policy formulation process?

Yes

No

Q8.3

How often is the Policy revised?

Not At All

Occasionally

Frequently

If Not At All Is Selected, Then Skip To How often do you consult the Policy?

Q8.4

Do you follow a formal process when revising the policy?

Yes

No

Q8.5

How often do you consult the Policy?

Never

Less than Once a Month

Once a Month

2-3 Times a Month

Once a Week

2-3 Times a Week

Daily

Q9.0

Add comments regarding Policy if needed

Implementation of the EAP Operational guidelines

Block Comments

Q9.1

Do you have 'Operational guidelines' also referred to as 'Standard Operating Procedures' in place for the EAP?

Yes

No

If Yes is Selected, Then Skip To Indicate which of the following categ...

Q9.2

If you do not have operational guidelines in place, please indicate the reasons. (You may select more than one option).

- Never developed
- No need for operational guidelines
- See no difference between policy and operational guidelines
- Operational guidelines form part of the policy
- Other, please comment

If Operational guidelines form... is Selected, Then Skip To Add comments regarding EAP Operationa...

Q9.3

Indicate which of the following categories of EAP Standards are covered in the Operational Guidelines

- Programme design
- Implementation
- Management and administration
- Clinical services
- Non-clinical services
- Preventative services
- Networking
- Monitoring and evaluation

Q9.4

Add comments regarding EAP Operational Guidelines, if needed

Implementation: Implementation Plan Back Options

**Q10.1**  
Does your EAP have an implementation Plan?

Yes  No

**Q10.2**  
If 'yes', is the implementation plan revised regularly?

Yes  No

**Q10.3**  
If 'no', please indicate reason

No need  
 No implementation plan developed  
 Implementation is a once-off exercise  
 Other, please specify

**Q10.4**  
Indicate whether the implementation plan provides for actions in respect of the following EAP core technologies. Please mark all relevant options.

Training  
 Marketing  
 Counselling  
 Consultation  
 Networking  
 Monitoring and evaluation

**Q10.5**  
Add comments on the Implementation Plan, if needed

Management and administration of the EAP: Staffing (10 Questions) Back Options

Management and administration: EAP professionals (10 Questions) Back Options

- 1. Management and administration: Professional development of staff (100%) Block Controls
- 2. Management and administration: Confidentiality and protection Block Controls
- 3. Management and Administration: Record keeping (145 questions) Block Controls
- 4. Management and administration: Professional liability insurance of facilities Block Controls
- 5. Management and Administration: Ethics (1 Governance question) Block Controls
- 6. EAP Clinical services: (6 Questions) Click to view questions Block Controls
- 7. Non-clinical services: Organizational consultation and development Block Controls
- 8. Non-clinical services: EAP training (4 Questions) Click to view questions Block Controls
- 9. Non-clinical services: Marketing (2 Questions) Click to view questions Block Controls
- 10. Preventative services: (2 Questions) Click to view questions Block Controls
- 11. EAP Networking (1 Question) Click to view questions Block Controls
- 12. Monitoring and Evaluation in the EAP (4 Questions) Click to view questions Block Controls

General Comments

Q25.1

Add comments regarding any of the questions included in this questionnaire - if needed and if you have not done so as yet.

Q25.2

Thank you for your time and effort in participating in this important survey!



# **Annexure (E)**

## **DECLARATION FOR THE STORAGE OF RESEARCH DATA**



**Declaration for the storage of research data and/or documents**

I/ We, the principal researcher(s) Andiswa Petunia Lefakane

and supervisor(s) Prof L S Terblanche

of the following study, titled

**Implementation standards: Practices in South African Employee Assistance Programmes benchmarked against EAPA-SA Standards.**

will be storing all the research data and/or documents referring to the above-mentioned study in the following department:

Social Work and Criminology

**We understand that the storage of the mentioned data and/or documents must be maintained for a minimum of 15 years from the commencement of this study.**

Start date of study: 2013

Anticipated end date of study: 31 December 2014

Year until which data will be stored: 2029

Name of Principal Researcher(s)	Signature	Date
Andiswa Petunia Lefakane		March 2014
Name of Supervisor(s)	Signature	Date
Prof L S Terblanche		March 2014
Name of Head of Department	Signature	Date
Prof A Lombard		

# **Annexure (F)**

## **EXAMPLE TO DEMONSTRATE DIFFERENCE BETWEEN POLICY AND OPERATIONAL GUIDELINE**

## Difference between Policy and Standard Operating Procedures (Example developed by the researcher)

Policy	SOPs
<p>1. Supervisory training is provided to all managers and first-line supervisors</p>	<p>In providing supervisory training, the following actions and resulting SOPs should be taken:</p> <ol style="list-style-type: none"> <li>1. Curriculum for training should be developed</li> <li>2. Course material should be developed – at least one week in advance of the actual training</li> <li>3. Course material should be printed</li> <li>4. Nomination of delegates</li> <li>5. Delegates should be identified within consultation with section heads</li> <li>6. Delegates should be nominated in writing under signature of the CEO</li> <li>7. Recognition/compensation of training should be planned for to ensure sufficient attendance</li> <li>8. Logistics should be attended to, i.e. booking of venues and instruments to facilitate the teaching process.</li> </ol>
<p>2. The implementation plan is a vital process in policy development as it establishes the EAP as an integrated service in the organisation, and ensures its successful roll-out.</p>	<p>The outline of a typical implementation plan should include:</p> <ol style="list-style-type: none"> <li>1. Promotion and education for managers/supervisors as well as all staff involved in the service,</li> <li>2. The name and contact information of the service provider, and</li> <li>3. Activities aimed at enhancing efficiency.</li> </ol>

