

A THEORY-DRIVEN EVALUATION OF A WELLNESS INITIATIVE

CARREN DUFFY
(DFFCAR002)

A dissertation submitted in partial fulfilment of the requirements for the award
of the Degree of Master of Commerce in Organisational Psychology

Faculty of Commerce
University of Cape Town

2009

University of Cape Town

COMPULSORY DECLARATION:

This work has not been previously submitted in whole, or in part, for the award of any degree. It is my own work. Each significant contribution to, and quotation in, this dissertation from the work, or works of other people has been attributed, cited and referenced.

Signature: ..

Date: ... *30 March 2010*

The copyright of this thesis vests in the author. No quotation from it or information derived from it is to be published without full acknowledgement of the source. The thesis is to be used for private study or non-commercial research purposes only.

Published by the University of Cape Town (UCT) in terms of the non-exclusive license granted to UCT by the author.

Acknowledgements

I would like to thank my supervisor Prof. Johann Louw for his guidance, direction and assistance throughout the year, as well as all of the individuals who encouraged and supported me during this research project.

University of Cape Town

TABLE OF CONTENTS

Executive Summary	p.4
Chapter 1: An introduction to evaluation	p.6
1.1 Programme theory-driven evaluation	p.8
1.2 The debate regarding the value of theory evaluations	p.9
Chapter 2: Setting the context	p.13
2.1 EAPs and employee wellness initiatives	p.13
2.2 SAB – Organisational background	p.15
2.3 The Evaluand - The Newlands Wellness Model	p.16
2.4 The NWM evaluation focus and evaluation questions	p.23
Chapter 3: Method	p.24
3.1 Data sources	p.25
3.2 Procedure	p.25
Chapter 4: Results	p.28
4.1 First draft of the NWM programme's theory	p.29
4.2 Second draft of the NWM programme's theory	p.29
4.3 Finalised NWM programme theory	p.31
4.4 Implementation recommendations	p.33
Chapter 5: Discussion	p.36
5.1 Recommendations	p.38
5.2 Next Steps	p.39
Conclusion	p.40
References	p.41

EXECUTIVE SUMMARY

Every programme whether it be in a social, human resources or training context has a programme theory. This theory is a set of underlying assumptions about the particular programme. These assumptions are usually causal hypotheses which propose how the inputs of the programme will eventually result in the intended outcomes of the programme.

The role of a theory-driven evaluation is to extract this theory from the programme stakeholders and to develop what Bickman (1987) describes as a programme theory model, “the construction of a plausible and sensible model of how a programme is supposed to work” (p.5).

This research report uses the programme theory-driven evaluation approach to develop a programme theory for the Newlands Wellness Model (NWM). The NWM is a wellness initiative offered by the South African Breweries' (SAB) Newlands Brewery to their employees with the aim of enhancing employee health.

Donaldson's (2007) steps for conducting a programme theory-driven evaluation provided the framework through which the stakeholders' implicit assumptions about the programme were investigated and formalised into a programme theory diagram.

Theory-driven evaluations are seen as important because, after an evaluator has elicited the programme's theory, he/she is able to reach a conclusion on the programme's efficacy and plausibility, by investigating whether the programme theory is aligned to social science literature and research (Rossi, Lipsey & Freeman, 2004).

In addition to developing the programme theory diagram for NWM, the evaluator aimed to conduct an implementation evaluation. This decision was made based on results found in the social science research regarding certain implementation variables which influence the success of wellness

programmes. However, this was not possible as the client needed to terminate the evaluation after the initial theory evaluation phase of the project, due to organisational constraints. While this was a shortcoming of the project, this evaluation still provided empirical evidence which supported the debate regarding the value of theory-driven evaluations and SAB was provided with the following results:

Firstly, a programme theory diagram was developed and formalised for SAB. Secondly, social science literature was consulted and the evaluator found the model to be plausible and realistic. As such the stakeholders can expect the NWM to achieve its intended outcomes. This could assist SAB in lobbying support for the initiative. Thirdly, employee service utilisation was identified as an implementation variable within social science research and literature, which influences the effectiveness of these programmes. In other words, researchers argue that employee participation and engagement in a wellness initiative is vital in achieving the programme's outcomes. This information was brought to the client's attention and recommendations were made on how SAB could enhance service utilisation for the NWM. Lastly, if an evaluator wanted to further investigate the NWM, this research report provides a solid starting point for a future implementation evaluation of the NWM.

A THEORY-DRIVEN EVALUATION OF A WELLNESS INITIATIVE

CHAPTER 1: INTRODUCTION TO EVALUATION

Programme evaluation can be defined as “the application of evaluation approaches, techniques, and knowledge to systematically assess and improve the planning, implementation and effectiveness of programmes” (Chen, 2005, p. 3). In simpler terms, evaluators investigate how well the programme is delivered to its target audience, which programme components are working and which are not, as well as how the design of the programme can be improved. In the early stages and development of evaluation, programme evaluators aimed to investigate whether or not there was an effect, in terms of a change in an identified problem or a change in a participant (Costner, 1991). These outcome evaluations were used in order to aid the decision-making processes within various organisations (Weiss, 1998). The assumptions were that if a programme indicated success it should be expanded and have a greater budget allocation in the following year(s).

The science of evaluation is thought to have started in the 1660s, but Weiss (1998) explains that the first real evaluation study was published in 1833. The study by A.M. Guerry investigated whether education reduced crime in communities. The study of social conditions then became a trend amongst researchers. However, these studies would only document social problems and people in need and suggest the implementation of policies, procedures and/or interventions in response to this (Weiss, 1998). Researchers would not investigate whether the policies, procedures and interventions implemented were effective and made a difference for people or in the identified problem. As such, they were seen as weak evaluation practices.

In the USA, after World War two, researchers began to conduct systematic studies which examined outcomes (Weiss, 1998). First, private organisations began evaluating their programmes and interventions and by the mid-1960s the American Government started to fund evaluations.

Evaluation as an industry continued to grow and today more than 50 professional associations worldwide have been established (Donaldson & Lipsey, 2006). The purpose of these associations is to share knowledge and findings through publications and seminars and in so doing advance the field of evaluation even further (Weiss, 1998).

Nowadays, as explained by Rossi, Lipsey and Freeman (2004) there are different types of evaluations which together establish a five-step hierarchy as seen in Figure 1 below.

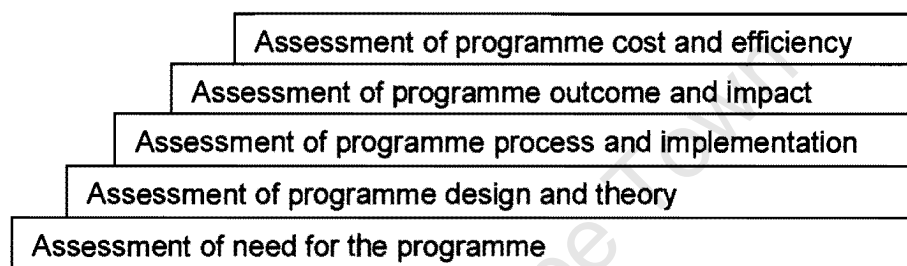


Figure 1. The evaluation hierarchy by Rossi et al. (2004)

These evaluation approaches each focus and investigate a different aspect of a programme. An evaluator's choice on which approach to use is usually dependent on the evaluation need of their client/organisation (Rossi et al., 2004). Evaluators can assess whether the need for the programme was correctly identified; whether the programme's design is consistent and plausible (aligned to experts' knowledge and prior research in that particular subject area); whether the programme was delivered as intended and at a high quality; whether the programme was successful in achieving its short-term, medium-term and long-term outcomes; and/or whether the programme has lead to a return of investment in terms of value gained (Costner, 1991). Theory evaluations are level two of this hierarchy.

Programme Theory-driven Evaluation

Donaldson and Gooler (2003) explain that theory evaluation is a relatively new approach to the evaluation practices. It was developed through the integration and synthesis of multiple ideas and tools from the different approaches which existed in the earlier years of evaluation science.

Today, programme theory-driven evaluations are becoming increasingly popular despite the confusion about the exact nature of this type of evaluation (Donaldson, 2007). This confusion is partly due to the fact that many interchangeable terms are used to label this approach. Examples of these include theory of practice, theory-based evaluation, theory-driven evaluation, theory of change, change model, logic model, and others (Donaldson & Lipsey, 2006).

All of these terms have the common assumption that each programme is based on a particular theory. In an attempt to define this theory, Weiss (1998) explains that a programme's theory is a set of beliefs about a particular programme. These beliefs are causal hypotheses which underlie the programme, as they propose how the inputs of the programme will eventually result in its intended outcomes. An evaluator conducting a programme theory-driven evaluation would aim to make these implicit assumptions (usually thoughts of various stakeholders, which are not recorded on paper) known and formalise these as part of the programme's documentation.

Bickman (1987) described programme theory-driven evaluation as "the construction of a plausible and sensible model of how a programme is supposed to work" (p. 5). The aim of programme theory-driven evaluation is therefore two-fold. Firstly, the evaluator extracts the programme theory from programme stakeholders and secondly, the evaluator investigates whether this theory is plausible and sensible. Thus, the central purpose of theory evaluations is to understand fully the nature of the programme, including its purpose and design (Donaldson & Gooler, 2003) and to determine its plausibility by assessing the model's alignment with previous empirical

evidence and social science research (Reynolds, 1998). In other words conducting a theory evaluation would provide the evaluator and stakeholders with information on whether the programme is able to achieve its outcomes. However, this type of evaluation has not been without its criticisms.

The debate regarding the value of programme theory-driven evaluations

The value of programme theory-driven evaluation has been widely debated. Theorists such as Scriven (1998) and Stufflebeam (2001) have argued that there is no need for this type of evaluation and that an outcome evaluation, which provides stakeholders with results on whether the programme is working or not, is more beneficial. Their argument against programme theory-driven evaluations rests in the misconception that these evaluations are not feasible.

Scriven (1998) argues that theory evaluations are often a waste of time and that the role of an evaluator is not to know how a programme's inputs produce outputs and how those outputs produce outcomes, but rather to provide data on the programme's effectiveness. He argues that it is possible to measure the success of a programme without having to investigate its programme theory.

Rogers (2000) and Reynolds (1998) explain the following three common reasons cited for the apprehension of evaluators not conducting programme theory-driven evaluations.

Firstly, programmes lack an articulated theory model or the model cannot be easily articulated because programme stakeholders have little understanding about the assumptions underlying the programme.

Secondly, programme theory models can become too complex and detailed and thus an evaluator would have trouble using this as a guide for collecting and analysing data.

Lastly, there is a lack of interest on the part of programme staff and stakeholders, as they are only interested in the programme's success.

Linked closely to these, Weiss (1998) describes the following questions which have been posed by critics regarding this approach's value:

- How does theory-evaluation advance the science of evaluation?
- Will programme stakeholders be aware and have insights into the causal logic of the programme?
- Will programme theory evaluations contribute to a growth in programme knowledge?
- Can the findings be generalised?

Weiss (1998) responds to these arguments by explaining that each programme must be treated as a whole with its own components, because each programme is unique. She adds that while the findings may not allow the evaluators to make inferences about other programmes, the evaluator would have served the needs of their client and improved that particular programme. Additionally, if theory evaluations are conducted and documented more, this accumulation of knowledge can be used by programme designers so that they base their programmes on a good programme theory, which has arisen out of similar successful programmes (Weiss, 1998).

Weiss (1998) also argues that with more theory evaluations being conducted, a meta-analysis of the different research studies could be performed. Through this, common intervention processes and variables and common causal relationships within different programmes can be identified.

Lastly, Weiss (1998) explains that conducting a programme theory-driven evaluation gives the evaluator a framework for subsequent impact evaluations. It allows them him/her to gain a good sense of the issues in the larger explanatory system in which the programme is based. In so doing, the evaluator can:

- understand all the programme components;

- develop appropriate evaluation questions;
- understand the data collected;
- interpret the results with the underlying theory and causal relationships in mind; and
- make recommendations to improve the effectiveness of the programme.

Other evaluators such as Chen (2005), Donaldson (2007), Rogers (2000), Rossi, et al. (2004), and Shadish, Cook and Campbell (2004), support these arguments. They argue that theory-driven evaluation results are not merely a list of programme components of an evaluand; theory evaluations are able to provide details, explanations and propositions of the various programme components and in so doing establish an underlying logic of the programme's operation (Donaldson, 2007).

As Donaldson (2007) explains this type of evaluation has two significant functions. First, if a programme fails (does not achieve its intended outcomes), a theory evaluation may be able to provide insight into the underlying reasoning for the non-success. Second, if a programme achieves its outcomes, a theory evaluation may provide evaluators and programme stakeholders with information on what mediating variables contributed to the success. In other words it can help to understand the causal mechanisms present.

Additionally, Weiss (1998) points out that programme theory-driven evaluation have benefits for programme designers, stakeholders and managers. Programme designers benefit from theory evaluations as it allows them to investigate whether their thoughts about the programme are reasonable. They are able to rethink their expectations of the programme and decide whether these are realistic and logical and if not make the relevant changes to the programme's design.

For stakeholders, this type of evaluation allows them to investigate whether there is consensus about the programme's assumptions. In others words whether everyone shares the same understanding of how the programme is

meant to work and what the goals of the programme are. If there are differences found in these perceptions, stakeholders can hold meetings and debate the differences in opinion, which may result in improvements made to the programme plan.

Lastly, for managers this type of evaluation will furnish them with information on whether or not the programme is likely to succeed and this could aid them in building commitment and support for the programme.

Overall, while the use of theory-driven evaluations is contested there are potential benefits in using this approach, as explained above. Unfortunately though, there are not many examples of such evaluations in South Africa. Thus, any study that could demonstrate the usefulness of the theory-driven evaluation approach would therefore be valuable, especially in the HR domain where very little has been done in this respect. To contribute to the empirical evidence of the value of theory-driven evaluations, this report details a programme theory-driven evaluation conducted on an HR wellness initiative.

CHAPTER 2: SETTING THE CONTEXT

In the HR function, employee wellness has recently taken on increased significance. In response to this, organisations are beginning to give recognition to employee assistance programmes (EAPs).

EAPs and Employee Wellness Initiatives

Researchers have used a number of terms to refer to employee assistance programmes, wellness programmes / initiatives, and health promotion. Listed below are some of the definitions used in social science research to describe this concept:

“Workplace health promotion is a combination of educational, organisational and environmental activities designed to support behaviour conducive to the health of employees and their families” (Wilkinson, 1999, p. 57)

“An employee assistance program (EAP) is a worksite-based program designed to assist work organisations in addressing productivity issues and employee clients in identifying and resolving personal concerns including but not limited to health, family, financial, alcohol, drug, legal, emotional stress and other issues that may affect job performance” (Matrone, 2008, p. 1)

“Health promotion is the combination of educational and environmental supports for actions and conditions of living conducive to health” (Green & Kreuler, as cited in Downey, 1996, p. 70)

“Wellness programs are defined as programs that are designed to improve the health of employees through health promotion activities, exercise and fitness, health screening, nutrition aid, educational programs, lifestyle awareness and stress management” (Haviland, 1996, p 8)

To collate the similarities of these descriptions and develop a definition for the purposes of this research, employee wellness, assistance and/or health programmes can be defined as long-term activities, adopted and implemented by organisations to promote employee behaviour that will improve and enhance physical, mental, psychological and emotional health and well-being of employees.

A brief history

EAPs have increased in size and popularity in the past decade (Haviland, 1996; Ilgen, 1990). Dr. Halbert L Dunn was one of the theorists who first began studying wellness as a concept in the 1950s (Fogarty, 2008). He described

wellness as “the state of some humans who are operating at or near their potential because of the lifestyle they have adopted” (Montgomery, 2008, p 7). In other words, Dunn conceptualised wellness as a lifestyle approach used to elevate physical and psychological well-being.

In the 1930s the focus of such initiatives was on the worker and workplace safety (Haviland, 1996). However, in the 1950s health promotion within organisations began to evolve. These interventions were no longer implemented with the aim of preventing injury, but rather to encourage health through education and feedback. Components concentrated on changing poor behaviours of drinking, nutrition, diet and exercise (Ilgen, 1990). Thus, interventions began to encompass three streams: health education; employee assistance designed to improve safety and avoid injuries; and health screening, to detect communicable diseases of staff members (Fuchs & Richards, 1986, as cited in Haviland).

In 1970, the World Health Organisation began to encourage health promotion and wellness within organisations in America, and in 1987 in European countries. Since then, researchers and employers began to recognise the relationship between employee health and worker productivity (Haviland, 1996).

This perceived health and productivity relationship prompted organisations to once again shift the focus of their employee assistance programmes to include components which aimed at enhancing employees’ psychological and emotional well-being in addition to physical health (Haviland, 1996). Sullivan (2008) explains that wellness has become a ‘buzzword’ for CEOs. He explains that whilst there are different types of programmes, their focus is to encourage preventive measures against illness and for employees to adopt healthy lifestyles.

Thus, there is a trend to achieve employee wellness through implementing initiatives aimed at changing employee behaviours and attitudes. This trend is

discernible in South Africa, particularly for one of the country's large multinational corporations, South African Breweries (SAB)¹.

SAB – Organisational Background

In 2002, SAB Miller plc. acquired 100% of the Miller Brewery Company in the United States of America, making SAB Miller plc. the world's second largest brewer in terms of volume produced. This international brewing organisation owns over 200 brands, and has brewing interests as well as distribution agreements in six continents and approximately 55 countries across the globe.

The South African subsidiary of SAB Miller plc, SAB Ltd was established in 1895 as the original brewery company. It has since grown in size in terms of the number of breweries in South Africa as well as its brewing capacities. SAB Ltd is the largest contributor to SAB Miller plc's global earning and is the largest producer and bottler of Coca-Cola products in South Africa. SAB Ltd currently operates seven breweries in South Africa, with an annual brewing capacity of 3.1 billion litres. With seven bottling plants, SAB Ltd is among the top five Coca-Cola bottlers in the world.

The Newlands brewery, which is the focus of this report, accounts for 4.5 million hectolitres of 11 different beers, and three different flavoured alcohol drinks.

Organisational Stance on Health and Wellness

Organisational health has been promoted by the parent company, SAB Miller plc. as a core organisational characteristic of the company. Top management for SAB Miller plc. have strategised to implement and promote employee wellness as a focus of their Human Resources (HR) function within all of the breweries operating in South Africa. To date, the HR department within the

¹ It is not uncommon in theory-driven evaluations to identify the organisations in which the programmes have been implemented (see Donaldson, 2007). For this research, it would not have been feasible to conceal the identification of SAB. The evaluand for this research is termed the Newlands Wellness Model and the organisation has been described as a multinational brewery in South Africa. Due to the fact that SAB is the only brewery in South Africa, readers would have been able to identify the organisation regardless of whether their name was used directly or not.

numerous breweries have produced what they claim to be a supportive culture within the organisation, which focuses on healthy lifestyle choices of employees.

The design for a wellness programme for the SAB Newlands brewery took place in the early months of 2008, which resulted in the development of the Newlands Wellness Model (NWM). This initiative is currently being implemented as the pilot study for all of the South African breweries, in order to achieve alignment with the organisation's approach to employee wellness. It is this model that will form the evaluand of this study; that is, the object of the present evaluation.

The Evaluand – The Newlands Wellness Model (NWM)

The organisational health mission statement is: "To promote wellness as a lifestyle choice, incorporating balanced wellness dimensions through the development and implementation of appropriate interventions within a supportive culture" (The Official Newsletter of Newlands Brewery, 2008, p. 6). The NWM is made up of six different approaches / plans which integrate both organisational health and wellness education to achieve this mission (Alcohol Policy, Sinawe, Finsense, Lifestyle Management, HIV/AIDS, and Life Threatening Diseases Policy). It is important to note, that while this model was designed and implemented for the employees of SAB Ltd, the benefits extend to the employees' family and their communities.

Six Approaches / Plans to Wellness

The NWM consists of various plans each with its own focus on what it aims to achieve and the activities thereof.

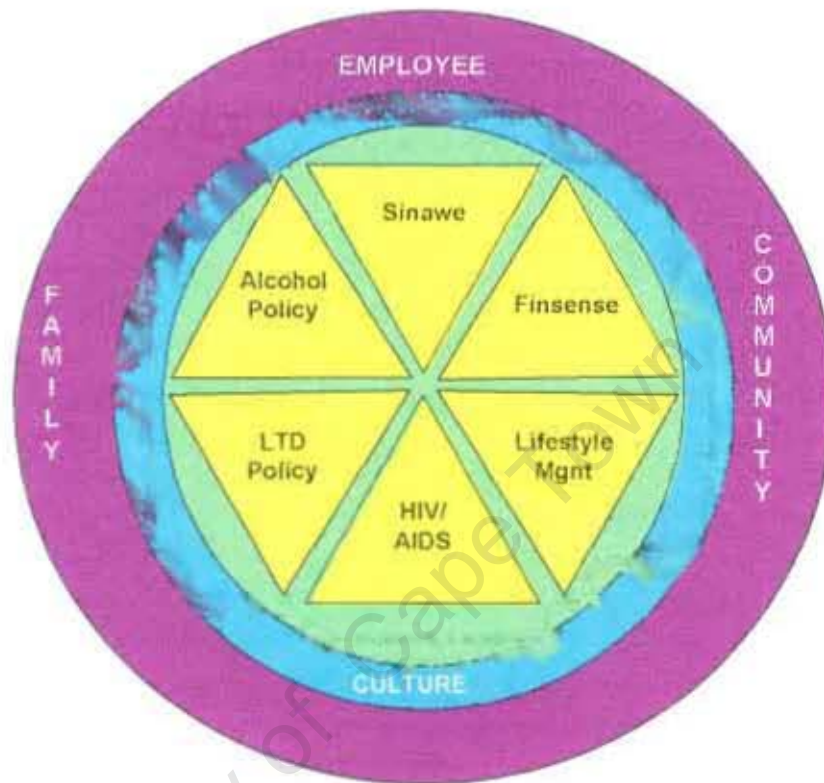


Figure 2. The Newlands Wellness Model.

Alcohol policy

SAB Ltd abides by the objectives as set out in The Liquor Act 59 of 2003, which aims to promote responsible alcohol use through the setting of norms and standards within the liquor industry. SAB Ltd has the following alcohol interventions linked to these guidelines:

Alcohol Policy Document

The purpose of this Human Resource (HR) policy and procedure is to maintain discipline and a healthy and safe working environment for employees through the setting of rules pertaining to alcohol consumption of their employees. More specifically it states:

- Rules regarding the use and abuse of alcoholic beverages by employees;
- Alcohol consumption of employees whilst on duty, reporting for duty or in company pubs or at social functions;
- The risks and issues related to alcohol dependency;
- The procedure for alcohol testing; as well as
- The disciplinary procedures for staff not adhering to the regulations as set out in the policy document.

Education Workshops

In addition to the policy, SAB provides ongoing education workshops which provide employees with information on the implications and consequences of alcohol abuse. These workshops cover areas such as road and workplace safety, addiction risks of alcohol, early signs of alcohol dependency and information about a number of resources who can assist employees with problems.

Treatment

In order to promote safe alcohol use, SAB provides treatment to employees who are alcohol dependent. Where the employee themselves have indicated their problem, SAB covers the costs for the necessary assessments, treatment and counselling services. This disclosure is also kept strictly confidential and reasonable time off is granted for employees to be rehabilitated.

Sinawe

Sinawe is a confidential counselling service provided to all staff members and their dependants. This service is outsourced to an independent service provider, who employs qualified counsellors to be on call, 24 hours a day, 365 days a year. It is a telephonic counselling service, which has a toll free number that employees and/or managers can call for assistance with:

- Personal, family or work related concerns;
- Financial, debt and legal issues;

- Ways to identify and address productivity and safety issues of staff (for managers); and
- How to work and win in teams and deal with emotional, behavioural and health concerns / issues of employees.

Finsense

Finsense is an annual educational workshop which aims to develop the financial skills of the staff in order for them to manage their finances, as well as to plan adequately and timeously for retirement. This component was chosen as part of the NWM due to the current economic recession in South Africa.

Lifestyle Management

The lifestyle management strategies aim to promote healthy lifestyle choices and what SAB calls 'a whole person concept'. SAB would like employees to be balanced individuals in terms of their psychological, emotional, physical and nutritional beings. To achieve this, a wellness week was designed and flexible working arrangements were implemented for certain staff members.

Wellness Week

SAB has plans to run an annual wellness week to encourage employees to have a healthy mind, body and soul. Certain companies sponsor one full day of activities, as well as refreshments and prizes. The Wellness Week will be held at the Newlands Brewery and will start on a Monday and end on Saturday.

Day one focuses on physical education. Employees take part in numerous exercises / activities such as Yoga, Pilates and Boot Camp. In addition to educational talks and practical exercises, employees are informed about the three gyms within the area with which SAB has organised discounted rates for employee memberships.

Day two highlights to employees the importance of testing for HIV. SAB organises for employees to have free VCCT (voluntary counselling and

confidential testing) and cholesterol tests as well as provides employees with the importance and health risks that these factors pose.

Day three involves education workshops about mental health and well-being. These workshops will provide information and awareness to employees on alcohol and substance abuse. In addition, employees are briefed on the alcohol policy implemented by SAB. The counsellors from the Sinawe initiative are involved in day three, by explaining their role and services offered to all staff members and their dependants.

Day four deals with medical health management. Exercise experts and doctors will speak to employees with the aim of educating them about the different life cycles of men and women and the associated risks and preventive measures for each stage, to stay healthy.

Day five which is the final day of the wellness week has a focus on nutrition and relaxation. Nutritionists will present on the importance of healthy foods and a healthy diet. There will be various food stalls and health bars for employees to try different food types as well as pamper stations where employees can relax whilst being massaged or receiving a spa treatment.

Day six, the final day of the wellness week, is family day. On this Saturday employees bring their spouses and children to SAB to enjoy a day of activities and catering, to encourage spending quality time with loved ones and thus promote a balanced lifestyle of all staff.

Flexible Working Arrangements

To ensure employees have a greater work-life balance, SAB has introduced flexible working arrangements for certain positions within the brewery. With Flexi-time, employees can have staggered starting and finishing times at work; as long as they are at work between the core hours of 9am and 3pm and work the full amount of contracted hours for each week. Flexi-place occurs when employees choose to work away from the office, either at home or an

alternative venue. However, these staff members must be contactable and must have the facilities to be able to complete their job tasks (e.g. internet access). Alternatively, employees can choose a shortened work week. However, with this option, they must agree to take a reduction in their salary. Lastly, employees who want extra vacation time can take up to three months unpaid leave, if prior consent from their managers is attained.

All of these arrangements aim to increase the amount of free time employees have for themselves and with their families to achieve work-life balance.

HIV/AIDS

SAB acknowledges the high prevalence of HIV/AIDS in South Africa. They view HIV/AIDS as a pandemic which imposes risk and burden on any person affected. Whilst the parent company SAB Miller plc. as well as its subsidiaries support communities and customers faced with HIV/AIDS by providing funding and donations to NGOs; SAB has an additional strategy which is focused internally. Their efforts in this regard are two-fold, firstly to manage existing infections through the provision of treatment, and secondly to prevent new infections through educational programmes.

Manage existing infections – treatment

SAB launched the Awareness Counselling and Testing Campaign (ACT) in 2003. This intervention allows all employees to receive free HIV/AIDS testing in order to encourage staff to know their status and if necessary start treatment early, when diagnosed. SAB covers all the costs related to this testing, including tests conducted by external institutions. Test results are strictly confidential and employees who are HIV positive receive anti-retroviral therapy, lifestyle management and counselling services, all of which are paid for by SAB. This benefit is provided to staff members themselves as well as three of their dependants.

Prevent new infections – education

SAB developed an education programme which focuses on behaviour and attitude changes of individuals. These workshops and initiatives use a variety of mediums including peer education, external experts, workshops, videos and theatre. Once the education messages are communicated, employees split up into smaller groups, led by a peer educator to discuss the content, thoughts, opinions etc. One of these workshops occurs on World Aids Day (December 1st). In addition to the education programmes, SAB provides staff members with free condoms (available in staff bathrooms) to encourage safe sex practices to reduce the risks of contracting HIV/AIDS.

Life Threatening Diseases Policy

This HR policy and procedure ensures that all employees who have contracted a life threatening disease (cancer, heart disease, tuberculosis, chronic obstructive airways disease, hepatitis B and HIV/AIDS) are treated fairly and consistently and are informed of their rights to prevent discrimination. This document also provides managers with guidelines on how to deal with affected employees.

Education Workshops

In addition to the actual policy, all staff members can attend educational workshops on the different diseases to gain more knowledge and information.

Tests and Counselling

Employees are able to receive free medical examinations related to these diseases, the results of which are confidential. Affected employees are also provided with free counselling to gain support and assistance.

All of these six components of the NWM and their sub-initiatives aim to promote healthy lifestyle choices for SAB Ltd employees. SAB Ltd provides the majority of these benefits free of charge in order to maintain a supportive culture and to maintain and improve employee wellness.

However, the explicit programme theory for the NWM was not articulated in any of the programme's documentation. Therefore the programme theory is said to be implicit (Rossi et al., 2004) or tacit (Weiss, 2008). The evaluator thus decided to conduct a programme theory-driven evaluation to develop this programme theory through various engagements with programme stakeholders and intended users of the programme (Patton, 1997).

The NWM Evaluation Focus and Evaluation Questions

Each stakeholder of the programme usually has his/her own ideas about what the programme is meant to do (Rossi et al., 2004). The evaluator then has the task of asking questions to first articulate this theory and then reach consensus with the stakeholders by agreeing on the programme theory model which is most aligned with those ideas.

In order to elicit the theory underlying the NWM, the following questions guided the evaluation, adapted from Rossi et al. (2004):

1. What is the implicit causal logic of the programme (programme theory)?
2. Is this programme theory plausible?
 - a. Is the programme theory (change process) aligned to social science research and literature?

CHAPTER 3: METHOD

Data Sources

Theory-driven evaluations usually use two types of data sources to gather information on evaluand. First, an evaluator would make use of programme documentation to gain initial information and then the evaluator would explore this further through key informant interviews with stakeholders (Donaldson, 2007).

Two data sources were used for this evaluation, namely key informant interviews with programme stakeholders and secondary data (document review).

Key Informant Interviews

The two primary programme stakeholders interviewed were the designer of the NWM and the wellness coordinator within the Newlands brewery. These individuals provided information on each of the NWM programme elements (as described in chapter two) and were interviewed for the purposes of eliciting the programme's theory (discussed further under procedure).

Secondary Data

The programme records and documentation listed below were explored for additional information on the evaluand:

- *Shared learning – Human resources*. (23 February 2009). The development and implementation of a holistic approach to wellness at the Newlands Brewery. Internally distributed PowerPoint presentation.
- SAB Miller (2009). *Company snapshot*. Available from:
http://www.sabmiller.com/files/companysnapshot/SABMiller_company_snapshot.pdf
- SAB Miller (2009). *Business overview: Corporate presentation*. Available from:
http://www.sabmiller.com/files/pdf/corporate_presentation.pdf

- Mountain talk (December 2008). *The official newsletter of Newlands Brewery.*
- *Sinawe's information guide for managers.* Internal company document.
- *Life threatening diseases policy.* (February 2004). Internal company policy document.
- *Flexible working arrangements.* (April 2006). Internal company policy document.
- *Alcohol policy.* (June 2008). Internal company policy document.

Procedure

Initial review

The documents listed above were used to describe the organisation and the evaluand of this research. Within any evaluation, but particularly theory-driven a thorough programme description is needed. Weiss (1998) argues that getting a sense of a programme should always be the first priority of an evaluator. As such the information from these sources was investigated and summarised in Chapter two of this report.

Theory-driven Evaluation Process

According to Donaldson (2007) there are various steps an evaluator needs to complete in order to develop a programme theory. These steps were used as a guide for the evaluation:

Step 1: Engaging the stakeholders

The designer of the NWM and the wellness coordinator at Newlands Brewery were interviewed in order for the evaluator to understand the nature of the programme. The wellness committee consisting of eight employees were included in the scope for interviews in the initial planning of this evaluation. However, due to availability and time limitations which prevented the evaluator from waiting for the interviewee's availability, only two stakeholders contributed their ideas about the programme's theory.

Step 2: Developing the first draft

During the interviews with the stakeholders the evaluator asked focused questions in order to gain the information needed for the development of the theory model. First, stakeholders were questioned broadly on what they hoped the different components of the NWM would accomplish. Secondly, the stakeholders were further asked to describe these outcomes in more detail using their own words. Lastly, the stakeholders were questioned on how they thought the activities would in fact lead to these outcomes. From this step the evaluator attempted to understand the stakeholders' thoughts about the relationships between the different components and as such develop a causal framework.

Step 3: First draft

The notes taken during the interview and discussion sessions were then analysed and the various ideas plotted onto a causal map. This information was used to develop a first draft of the proposed programme's theory. The developed model took the form of a box and arrow type diagram. Face-to-face meetings were held with the stakeholders in order to verify whether the evaluator did in fact interpret their ideas correctly and all the information was captured in the diagram.

Step 4: Plausibility check

Once the diagram had been signed off and agreed upon by the two stakeholders, the evaluator needed to examine its plausibility by investigating its alignment with social science research and literature. The evaluator not only researched the concept of employee wellness as a whole, but in addition checked the plausibility of the component relationships as well.

Step 5: Final model

Any changes or additions to the programme theory model as suggested by the evaluator based on prior research were first verified with the stakeholders. Upon agreement, the model was finalised.

Analysis of data

The data that was gathered from these steps would not require any in-depth analysis. Due to the nature of theory evaluations, the evaluator poses questions to the stakeholders and their responses are described and reflected upon. Thus for this evaluation, no qualitative research techniques were performed.

University of Cape Town

CHAPTER 4: RESULTS

In this type of evaluation the results section often looks different from what one would expect. For programme-theory driven evaluation, the results are:

1. The theory model / diagram developed;
2. The plausibility of the theory (as an ultimate result); and
3. The agreement from both the evaluator and client that the model accurately depicts the underlying assumptions of the programme.

This results chapter addresses each of these, followed by strategies for the implementation of the NWM.

Steps 1 & 2 – Engaging the stakeholders and developing a first draft

The first month of the evaluation was spent learning about the programme and having interviews with the programme stakeholders within the HR department. The evaluator aimed to get as much initial information as possible to understand the different components of the NWM and the reasons for the design of the wellness initiative.

During interviews with the programme stakeholders, it became evident that the HR personnel had difficulty trying to explain their understanding of the programme's logic and had no formalised documentation which reflected these thoughts. Consequently the evaluator had to ask very specific questions to elicit their assumptions about the programme.

Step 3 – First draft

Based on the information obtained through the interviews and the documentation review, the diagram in Figure 3 was developed and presented to the stakeholders for comment and feedback. This diagram illustrated the initial assumptions of the stakeholders as to why the NWM was implemented. Stakeholders viewed the implementation of the NWM as an undertaking mandated by top management for the purposes of enhancing employee health.

As such they did not perceive the programme to be addressing an identified need or problem.

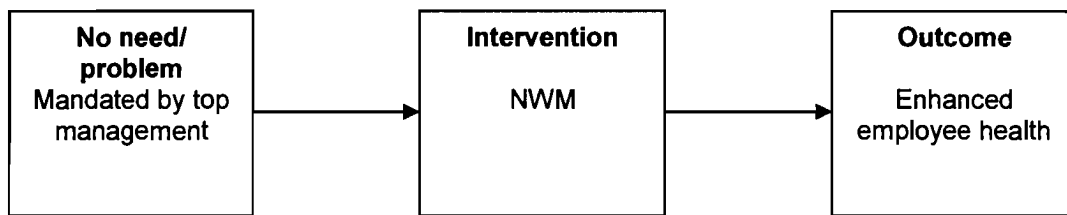


Figure 3. First draft: NWM's programme theory

This initial diagram was then discussed with stakeholders. Due to the fact that no need was identified in the first diagram, this became the focus of the follow-up discussions, in order to understand why the programme had been implemented. After this interview it became evident that the reason for the implementation of the NWM was for the Newlands brewery to provide an HR initiative which was aligned to SAB's organisational health mission. Thus, the development of a new diagram could now include an identified need and the result of the brewery having performed their mandate was made an outcome. Additionally stakeholders were questioned on how the NWM would result in enhanced employee health and what other outcomes could be expected as a result of this. Stakeholders explained that the NWM would encourage healthier lifestyle choices and by employees applying these behaviours, they would be healthier. The offering of such initiatives was thought to increase the image and favourability of the organisation, as seen below in Figure 4.

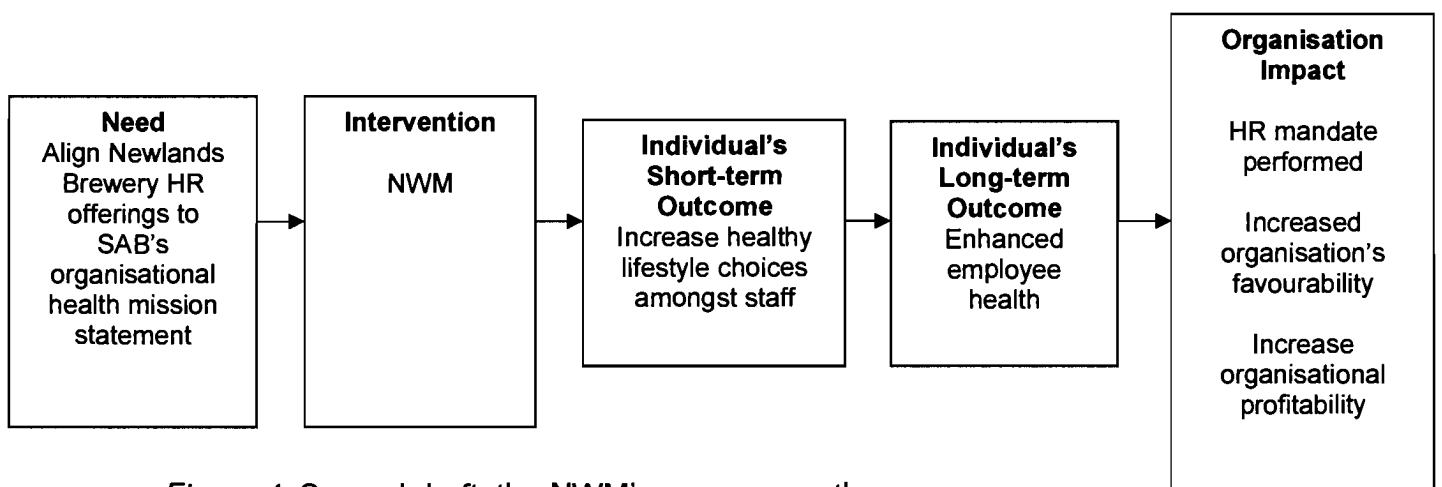


Figure 4. Second draft: the NWM's programme theory

This diagram was also presented to stakeholders for comment, feedback and clarification. Again the evaluator posed different questions about the casual relationships within the programme, and further details on how certain short-term outcomes would result in longer term outcomes.

The evaluator had some difficulty trying to establish the direct causal relationships within the theory, specifically which long-term outcomes were linked to which short term outcomes. As such, the questions posed to the stakeholders were divided into the sub-components of the NWM. In other words, instead of asking questions about the NWM as a whole, stakeholders were asked for example, "What will the effect of implementing the HIV/AIDS initiative have, for the employees?" Thus, a diagram was drawn up for each sub-component of the NWM indicating that initiative's short-term, medium-term and long-term outcomes.

This helped stakeholders to plot the causal relationships within the different components of the NWM. Whilst these micro diagrams are not presented below, the evaluator used them to develop a macro theory diagram, as seen in Figure 5, which sufficiently captures the causal relationships in the model. This simple diagram represents the underlying logic and programme theory of the NWM.

The diagram illustrates that the implementation of the NWM (with its initiatives) can result in employees making healthier lifestyle choices. The decision to make healthier lifestyle choices is thought to directly influence an employee's health and this is perceived to have subsequent benefits for the organisation, as seen in Figure 5 below. In addition to increased healthier lifestyle choices, the offering of these services as part of the NWM initiatives is thought to result in job satisfaction of employees, which too has benefits for the organisation.

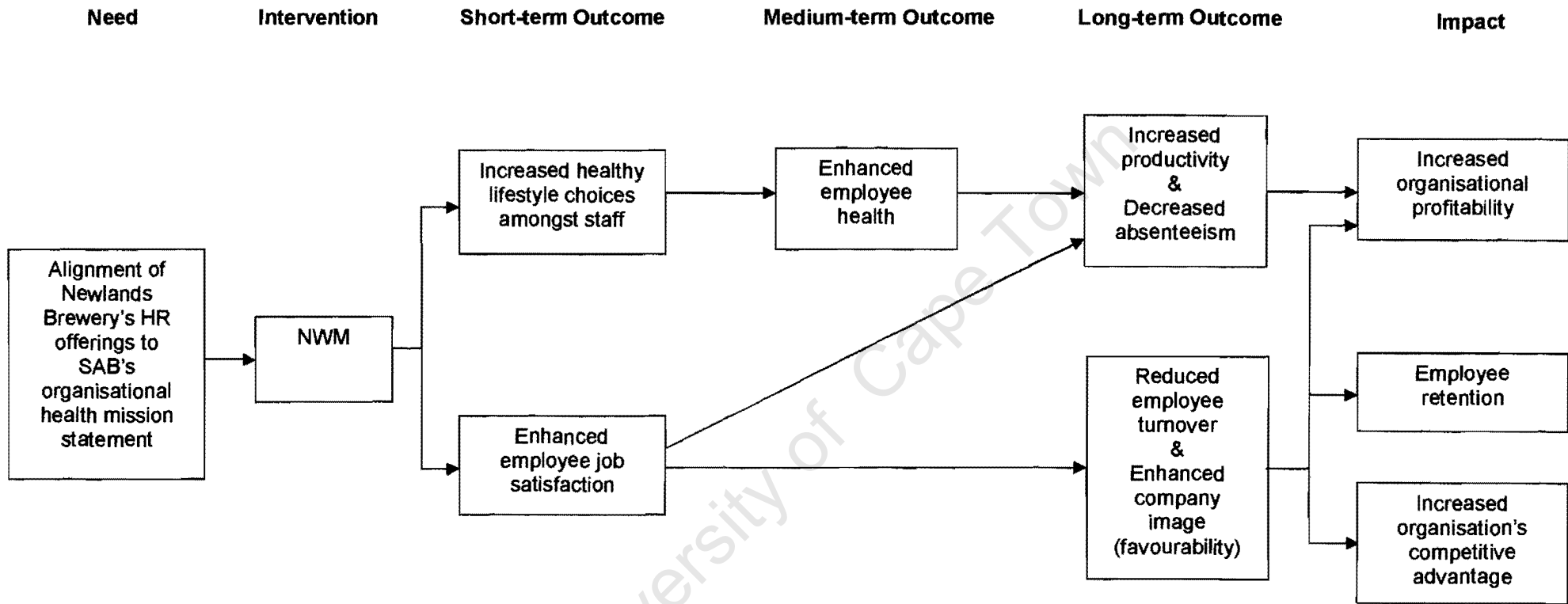


Figure 5. Finalised NWM programme theory

Step 4: Plausibility check

After consulting social science literature, the underlying philosophy to implement a wellness programme seems to rest on the notion that a healthier employee is a happier employee; and a happier employee is a more productive employee (Danna & Griffin, 1999; Haviland, 1996; Srivastara, 2008). Danna and Griffin (1999) proposed a model which explained that well-being within the workplace can have both individual consequences and organisational consequences. Individual consequences revolve around outcomes pertaining to physical, psychological and behavioural changes of employees, whereas organisational consequences were linked to health costs, productivity and absenteeism outcomes affecting the organisation itself.

Researchers and theorists have explained specific outcomes according to both of these organisational and employee consequences based on their empirical studies and research. In particular, the following were found to be outcomes associated with effective wellness programmes:

- Decreased absenteeism (Conrad, 1988b; Gustin, 2006; Hermis, 2001; Mason, 1992; Montgomery, 2008; Polychronopoulos, 2008; Wolff, 2003; Wolfe & Parker, 1993);
- Decreased turnover (Conrad, 1988b; Gustin, 2006; Hermis, 2001; Mason, 1992; Montgomery, 2008; Polychronopoulos, 2008; Wolff, 2003; Wolfe & Parker, 1993);
- Increased morale and employee job satisfaction (Breiner, 2007; Conrad 1988b; Mason, 1992; Matisonn, 2009; Montgomery, 2008; Toomey, 2006; Wolff, 2003; Wolfe & Parker, 1993);
- Increased productivity (Breiner; Conrad, 1988b; Fogarty, 2008; Mason, 1992; Matisonn, 2009; Montgomery, 2008; Toomey; Wolff, 2003; Wolfe & Parker, 1993);
- Increased retention of highly skilled staff (Wolfe & Parker, 1993);
- Improved competitive advantage (Gustin, 2006; Hermis, 2001; Polychronopoulos, 2008);

- Enhanced employee health and healthy lifestyle choices (Conrad, 1988a; Montgomery, 2008; Wolff, 2003; Wolfe & Parker, 1993); and
- Employers are seen favourably due to their commitment to employee health (Haviland, 2004; Ho, 1997; Marshall, 2008; Wolfe & Parker, 1993).

These described outcomes provide evidence supporting the assumption that implementing a wellness programme should bring about positive effects and/or results for employees and for the organisation. These outcomes formed part of the NWM's programme theory and thus, the programme theory of the NWM is plausible and in line with social science research. However, it is important to note that no recent South African wellness programmes have been evaluated in order to determine whether these outcomes have been achieved in practice.

Step 5: Final Model

Both of the stakeholders as well as the evaluator accepted and signed off the model.

Implementation recommendations based on relevant literature

While the programme theory of the NWM was plausible, this does not guarantee the success of the programme. Social science literature presented arguments from different theorists (Downey, 1996; Haviland, 1996; Ho, 1997; Wilkinson, 1999; Wolfe & Parker, 1994) who explained that although a wellness programme's theory may be feasible, the actual programme requires strict implementation processes and procedures in order to be successful. More specifically, employee service utilisation is an implementation variable which influences the relationship between the NWM activities and its intended outcomes.

The need for service utilisation

Researchers argue that even though organisations are implementing wellness initiatives for the perceived and reported benefits these may bring about, the desired outcomes rely heavily on employee participation and involvement (Downey, 1996; Wolfe & Parker, 1994). Thus, in order for wellness programmes to achieve the desired outcomes, service utilisation and the targeting of employees is fundamental (Wolfe & Parker, 1994).

Milano (2007) explains that employee wellness programmes are often sporadic and randomly implemented and thus do not succeed. She points out that multi-component programmes have low utilisation levels. Common barriers for this programme failure include: lack of promotional materials; generic, non-individualised health messages; low motivation of staff to attend programme activities; target audiences not being reached; and inconvenient scheduling of activities. Suggestions have been made to prevent low participation rates through improving organisational commitment in the programme as well as having well organised logistical arrangements.

Wolfe and Parker (1994) explain that top management's attitude towards the programme and their involvement in the programmes creates a culture of participation for all staff members, which may result in greater utilisation of services. Additionally, services provided on-site, with convenient scheduling as well as providing staff time off to attend programme activities, all have positive effects on participation levels (Wolfe & Parker, 1994).

Results in the literature consulted on this area, show that employee utilisation and participation (Downey, 1996; Wolfe & Parker, 1994) is an implementation issue which influences whether or not an organisation is able to reap the benefits of a successful employee wellness initiative (i.e. the list of outcomes presented in Figure 5). Downey, and Wolfe and Parker have argued that the number of employees making use of the services determines the programmes success.

Therefore, in order for the NWM to be successful, SAB needs to increase employee participation and involvement in the different components of their programmes. This can be achieved by implementing some of the following strategies:

- Gain top management's commitment, support and engagement in the NWM (Downey, 1996; Ho, 1997; Wilkinson, 1999; Wolfe & Parker, 1994);
- Have strong promotional efforts and targeting of SAB employees (Ho, 1997; Wolfe & Parker, 1994);
- Conduct a needs assessment in terms of the current employee health as well as what employees' needs and wants are (Downey, 1996; Haviland, 1996; Ho, 1997);
- Allow for family involvement in the programmes (Ho, 1997);
- Ensure the logistics are well organised and the scheduling of programme activities is convenient (Downey, 1996; Wolfe & Parker, 1994);
- Develop policy documents outlining the organisation's commitment towards the NWM and providing general information on the programme (Downey, 1996; Haviland, 1996); and
- Provide supervisors with training on the NWM so they are aware of the offerings (Haviland, 1996; Wilkinson, 1999).

The above listed strategies could be used to encourage employee participation and involvement in the NWM offerings, and as such directly influence the programme's success.

CHAPTER 5: DISCUSSION

The results from the literature review revealed that even though the programme theory for the NWM was plausible in terms of the outcomes it intended to achieve, the model did not take into account the importance of employee involvement and participation, as an implementation issue affecting the model's success. As such, the evaluator proposes that this implementation variable (which the literature leaves open as to whether it is a mediator or moderator variable) be included in the programme theory diagram, as seen below in Figure 6.

University of Cape Town

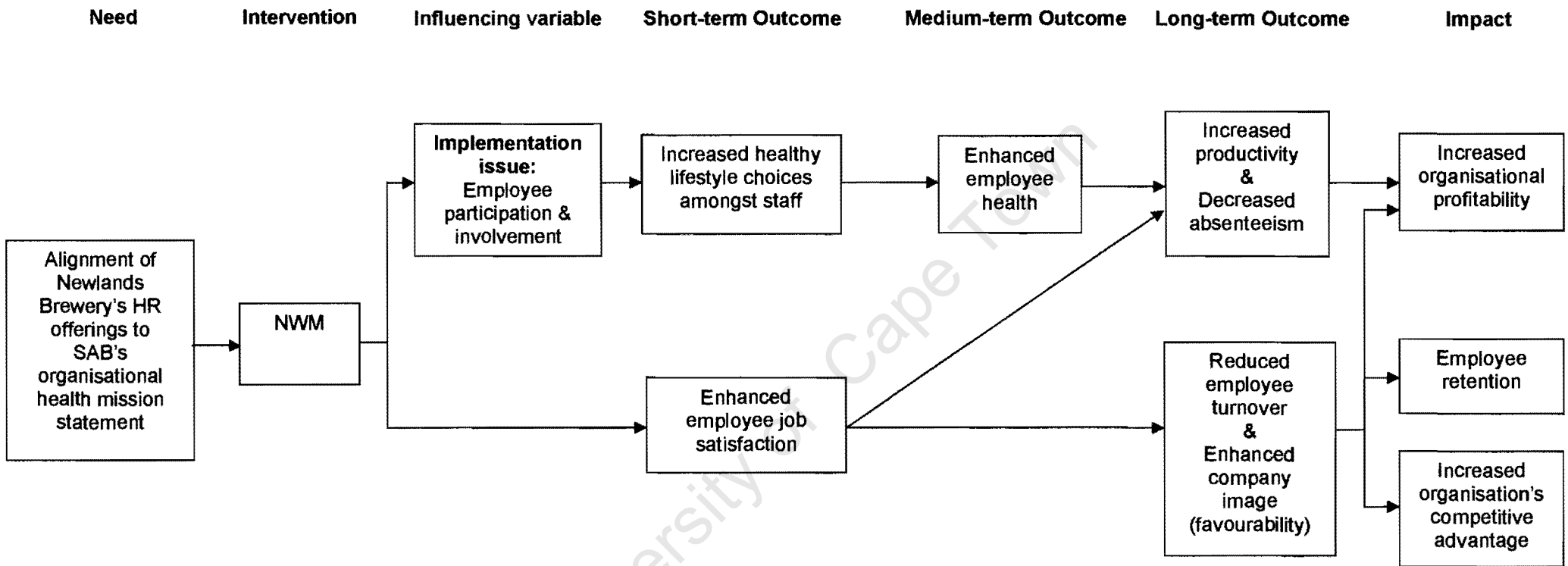


Figure 6. Finalised NWM programme theory with implementation variable

The highlighting of this variable is particularly beneficial for SAB, especially due to the fact that so many theorists (as described in Chapter 5) contribute the success of wellness programmes to employee involvement. This evaluation result is helpful for the success of the NWM and as such it is recommended that SAB implement the various strategies into the roll-out and/or implementation plan of the NWM.

From conducting the programme theory-driven evaluation the following was achieved:

Firstly, the evaluator was able to ensure that the stakeholders' assumptions of the NWM were aligned in terms of their ideas and beliefs about how the programme works and why.

Secondly, these underlying assumptions were formally documented for the client in the form of a programme theory diagram for future use.

Thirdly, the evaluator was able to conclude that the NWM was plausible and does have the ability to achieve the intended outcomes.

Lastly, the theory evaluation also gave the client the essential information about how the programme must be implemented to be successful.

Recommendations

This evaluation sought to make explicit the programme theory underlying the NWM at SAB's Newlands Brewery. A review of relevant literature regarding the success of wellness programmes revealed that although wellness programmes have a long list of outcomes, the extent to which employees makes use of such programmes determines its effectiveness. Thus, employee participation and involvement in the programme is thought to directly influence how successful it is.

It is therefore imperative that SAB considers the strategies as outlined in chapter five to increase employee participation in the NWM. In this way, it will become more likely that the NWM will lead to the intended outcomes.

Next steps

Ideally, the next step in a programme theory-driven evaluation would be to use the model developed above and the information gathered to develop further evaluation questions and collect data to answer these. In other words, the theory-driven evaluation conducted would have served as a starting point for an implementation evaluation.

The implementation evaluation could have investigated how well those NWM components already implemented were delivered and how much employees were making use of the services offered. The focus would have been on the quality of the services, service coverage to determine whether adequate resources were allocated to the programme and most importantly, service utilisation to investigate whether employees were making use of the different initiatives available as this is assumed to directly influence the programme's success.

Unfortunately, SAB has to stop the evaluation after the initial theory step, due to a number of organisational factors. It is for this reason that only the programme theory-driven evaluation aspect of the evaluation was conducted.

This was an obvious limitation to this research; however, by continuing to work with the NWM after the decision to suspend the evaluation was made, the evaluator was still able to provide the client with some useful information.

IN CONCLUSION

After completing the programme theory-driven evaluation, this research project supported the prior arguments made in chapter 1 about the importance and value of conducting theory evaluations.

This evaluation has showed the importance of first conducting a theory-driven theory, not only in order to fully understand the programme and larger context in which it is situated, but also as this knowledge provides an evaluator with information on which to base an implementation and outcome evaluation. The finding that employee participation is essential for the success of the NWM and the strategies to increase such participation will be useful to SAB for improving the programme's effectiveness. These results can be accounted for in the implementation plans of the NWM and as such increase the possibility of the NWM achieving its intended outcomes.

University of Cape Town

References

- Bickman, L. (1987). The functions of program theory. In L. Bickman, (Ed.), *Using program theory in evaluation: No. 33* (pp. 5-18). San Francisco: Jossey-Bass.
- Breiner, L. (2007). Wellness in the workplace affects the bottom line. *Westchester County Business Journal*, 46(13), 26.
- Chen, H.T. (2005). *Practical program evaluation*. Thousand Oaks: Sage.
- Conrad, P. (1988a). Health and fitness at work: A participants' perspective. *Social Science Medicine*, 26, 545-550.
- Conrad, P. (1988b). Worksite Health Promotion: The social context. *Social Science Medicine*, 26, 485-489.
- Costner, H.L. (1991). What is theoretical evaluation research? *Contemporary Sociology*, 20(1), 92-94.
- Danna, K., & Griffin, R.W. (1999). Health and well-being in the workplace: A review and synthesis of literature. *Journal of Management*, 25(3), 357-384.
- Donaldson, S.I. (2007). *The emergence of program theory-driven evaluation science*. New York: Taylor & Francis Group.
- Donaldson, S.I., & Gooler, L.E. (2002). Theory-driven evaluation of the work and health initiative: A focus on winning new jobs. *American Journal of Evaluation*, 23(3), 341-346.
- Donaldson, S.I., & Gooler, L.E. (2003). Theory-driven evaluation in action: Lessons from a \$20 million statewide work and health initiative. *Evaluation and Program Planning*, 26, 355-366.
- Donaldson, S.I., & Lipsey, M.W. (2006). Roles for theory in contemporary evaluation practice: Developing practical knowledge. In I. Shaw, J.C. Greene, & M.M. Mark (Eds.), *The handbook of evaluation: Policies, programs, and practices* (chapter 2). London: Sage Publications.
- Downey, A.M. (1996). Fit to work (health promotion programmes). *Business Quarterly*, 61(2), 69-74.

- Fogarty, S. (2008). The importance of EAPs in population health management. *Benefits and Compensation Digest*, 45(10), 11-14.
- Gustin, K. (2006). The value of healthy employees. *National Provisioner*, 220(9), 40-42.
- Haviland, T.R. (1996). Employee assistance and wellness programmes: Assessing what contributes to effective programs and the relationship to employee health, worker productivity and health care costs. Unpublished master's thesis, New York Medical College, New York, USA.
- Hermis, P.S. (2001). Wellness in the workplace: A qualitative study. Unpublished doctoral dissertation, Pepperdine University, California, USA.
- Ho, J.T.S. (1997). Corporate wellness programmes in Singapore: Effect on stress, satisfaction and absenteeism. *Journal of Managerial Psychology*, 12(3), 177-189.
- Ilgel, D.R. (1990). Health issues at work: Opportunities for Industrial/Organisational Psychology. *American Psychologist*, 45(2), 273-283.
- Marshall, L. (2008). Workplace wellness surge. *ColoradoBiz*, 35(9), 51-55.
- Mason, J.C. (1992). Healthy equals happy plus productive. *Management Review*, 81(7), 33-37.
- Matisonn, S. (2009, January). Wishing Wellness. *Money Marketing* (no volume or issue number provided), p. 53.
- Matrone, G.L. (2008). Employee Assistance Program Impact: One local program's effectiveness. Unpublished master's thesis, Southern Connecticut State University, South Connecticut, USA.
- Milano, C. (2007). What ails workplace wellness programs? *Risk Management Magazine*, 54, 30-36.
- Montgomery, S.L. (2008). Building employee wellness through implementing exercise, nutrition and chronic health education. Unpublished doctoral dissertation, University of South Carolina, South Carolina, USA.
- Polychronopoulos, L. (2008). The road to workplace wellness. *NZ Business*, 22(7), 22.

- Reynolds, A.J. (1998). Confirmatory program evaluation: A method for strengthening causal inference. *American Journal of Evaluation*, 19(2), 201-221.
- Rossi, P.H., Lipsey, M.W., & Freeman, H.E. (2004). *Evaluation: A systematic approach*. (7th ed.). Thousand Oaks: Sage Publications.
- Scriven, M. (1998). Minimalist theory: The least theory that practice requires. *American Journal of Evaluation*, 19(1), 57-70.
- Shadish, W.R. (1998). Evaluation theory is who we are. *American Journal of Evaluation*, 19(1), 1-19.
- Srivastara, S.S. (2008). Evaluating causal model for employee wellness and productivity. Unpublished master's thesis, Golden Gate University, San Francisco, USA.
- Sullivan, P.S. (2008). Why Wellness? *Indiana Business Magazine*, 52(9), 12-13.
- The Official Newsletter of Newlands Brewery. (2008). *Mountain Talk*.
- Toomey, D. (2006). Wellness and prevention programs generate healthy outcomes. *Executive Health & Wellness Guide*, 19(15), 13.
- Weiss, C.H. (1998). *Evaluation* (2nd ed.). New Jersey: Prentice Hall.
- Wilkinson, C. (1999). Management, the workplace and health promotion: fantasy or reality? *Health Education Journal*, 58, 56-65.
- Wolfe, R.A., & Parker, D.F. (1994). Employee Health Management: Challenges and opportunities. *The Academy of Management Executive*, 8(2), 22-31.
- Wolff, S. (2003). Organizational health: Beyond integrated disability. *Compensation Benefits Review*, 35, 7-15.