

# Workplace Health and Safety Strategy Evaluation Framework

## 1. Introduction

This paper outlines an evaluation framework for the Workplace Health and Safety Strategy (WHSS). It also provides the basis for detailed planning.

## 2. Overview of the WHSS

The WHSS provides a framework for the workplace health and safety activities of government agencies, local government, unions, employer and industry organisations, non-government organisations and workplaces. It is aimed at significantly reducing New Zealand's work toll, and will also:

- raise awareness of workplace health and safety;
- help co-ordinate and prioritise the actions of a wide range of organisations;
- improve the infrastructure that supports workplace health and safety.

It sets out a direction for workplace health and safety in New Zealand based on a vision of *healthy people in safe and productive workplaces*.

There are four principles used in the development of the Strategy that should guide the implementation. These are:

- **Prevention:** workplace health and safety activities should focus on preventing new cases of illness and injury.
- **Participation:** improvements in workplace health and safety can only happen if all groups are involved;
- **Responsibility:** employers have primary responsibility for workplace health and safety. Employees also have some responsibility for their safety, through how they act in their workplaces.
- **Practicability:** workplace health and safety activities must be based on what is reasonable, given particular circumstances.

## 3. Purpose of evaluation

Information from evaluation activities will provide key stakeholders with information on this Strategy. This could include:

- The implementation of the Strategy;
- Progress against actions in the Strategy action plan;
- What is working and not working in the Strategy Implementation Plan;
- Whether the strategy is meeting the vision of Healthy People in Safe and Productive Workplaces through the outcome indicators; and
- What else needs to happen to improve workplace health and safety?

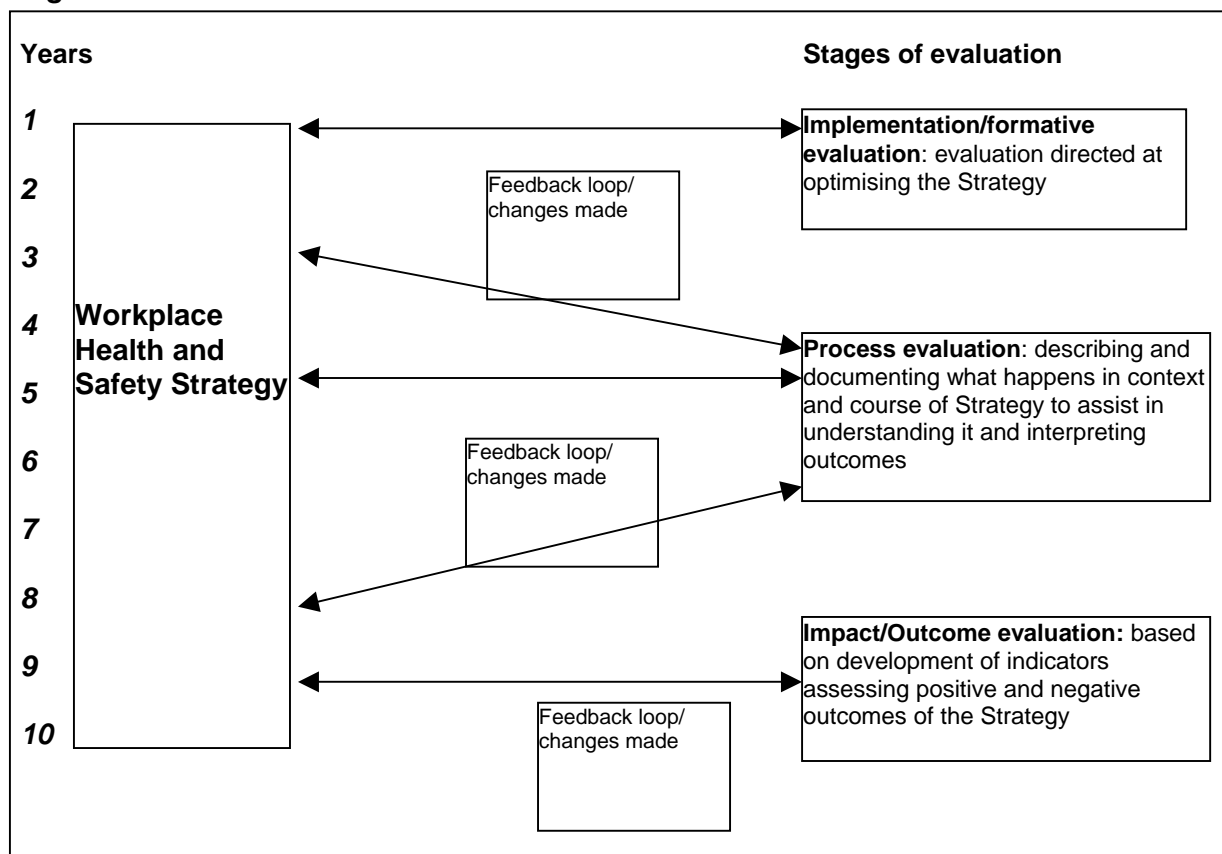
Evaluation will feed into reporting requirements as well as the Strategy's development. The Strategy is a dynamic initiative that will evolve over time in response to lessons learnt through evaluation. Evaluation, in this context, can be seen as a strategic conversation between stakeholders that highlights what is working and not working (Sridhavan and Lopes, 2004 and Duignan 2002)<sup>1</sup>.

Evaluation of the Strategy can only take place in the 'real world' meaning that there is no ability to undertake experimental designs where, ideally, the investigator controls study conditions by manipulating, changing or holding constant external influences (Patton 2001). Consequently, the framework needs to base its evaluation on other forms of inquiry. Naturalistic inquiry may be the best framework for evaluation of the Strategy. This is a 'discovery-oriented' approach that minimises investigator manipulation of the study setting and places no prior constraints on what the outcome of the research will be. There is no

ability to have a pre-test and post-test which compares treatment groups in relation to specifiable predetermined outcomes. With the WHSS, we are looking at a dynamic variable and comprehensive strategy that is being implemented nation-wide. Evaluation in this case is used to feed into improving the Strategy as it develops and providing information about how the Strategy is working.

The diagram below shows how evaluation is used throughout the Strategy as a strategic conversation, informing and improving the Strategy throughout its lifecycle. There are three types of evaluation being considered for the WHSS: implementation/formative evaluation; process evaluation and impact/outcome evaluation. These are discussed in the next section of the paper.

**Figure 1: Evaluation Framework**



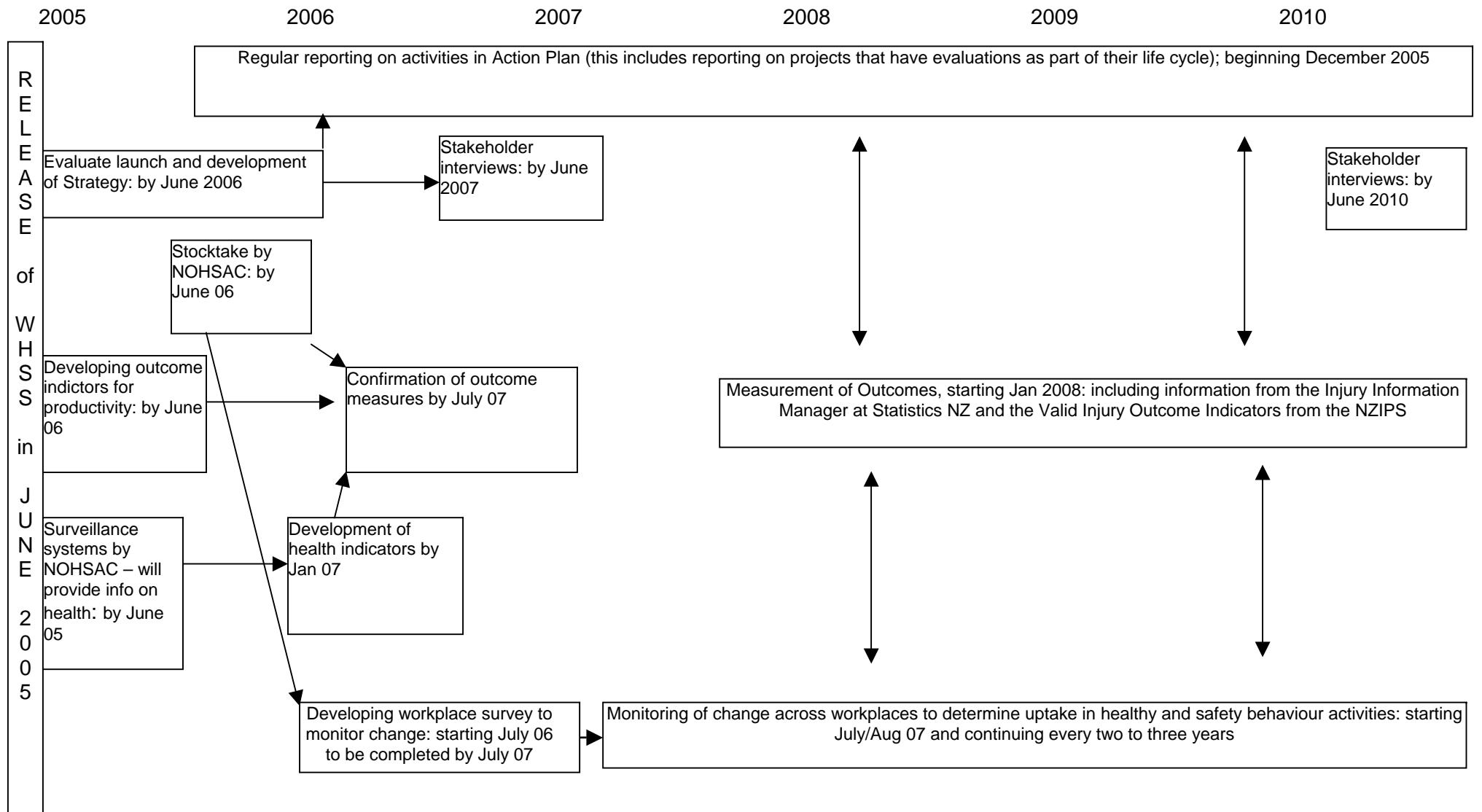
#### 4. Links with other work programmes

As already noted, the evaluation framework relies on other work programmes for information. This includes:

- Injury data from the Injury Information Manager at Statistics NZ. This data is reported annually and will make up part of the WHSS outcomes data.
- NOHSAC research reports. These include a baseline data through an OSH profile or stocktake similar to the ILO recommended OSH profile and a review of the surveillance systems for occupational disease and injury in NZ and other jurisdictions.
- Valid Injury Outcome Indicator information from ACC Injury Prevention Strategy.

This diagram over the page sets out the different projects within the Evaluation Framework along with their completion dates. Arrows are used to indicate where pieces of evaluation work inform future activities. The arrows also indicate the connected nature of the framework and show how it works at different levels.

## Timeline for Evaluation Projects within the WHSS for first five years



## 5. Implementation/Formative Evaluation

**Purpose of evaluation:** evaluation activity designed to improve the design, development, formation and implementation of a given strategy, policy or programme. It is a disciplined approach to ensuring that a programme is well developed.

This evaluation will document the process of development and implementation of the Strategy. It is an opportunity to critically assess the decisions that are being made and can provide regular formal feedback to those involved in working on the WHSS. The implementation evaluation is also an opportunity for determining how outcomes in the Strategy will be evaluated. It will provide key information on methods for evaluation and monitoring.

There are key reporting requirements already set out within the Strategy. These will be built into monitoring. This includes the first formal review of the Strategy after three years. Regular reports outlining progress on the Action Plan will also be built into the evaluation framework. Key projects include:

- Key informant interviews with those involved in development and launch of WHSS
- Stakeholder interviews
- Stocktake of activities
- Formal evaluation after three years that will incorporate and report on all evaluation activities in the Framework

The outcome of this exercise will be:

1. An outline of how development and implementation of the Strategy occurred
2. A presentation of stakeholders perceptions of the Strategy's impact or usefulness at the beginning of the process
3. An articulation of realistic outcomes for evaluation of the Strategy

Key questions to be considered in the evaluation

- Is this a good framework for workplace health and safety at a national level?
- Will the Strategy meet the needs of those it is targeting?
- Will the Strategy increase ownership of health and safety?
- How is the Strategy being used?
- How will we determine if Outcomes are achieved?
- What can we do better?

The table over the page sets out the key projects that will be undertaken as part of the Implementation Evaluation.

**Implementation evaluation projects**

<i>Evaluation activity and outcome</i>	<i>Timeline</i>	<i>Method</i>	<i>Ideas</i>
<b>Key informant interviews: Evaluation of development and launch of the WHSS</b>	By 30 June 2006	<p><b>Key informant interviews</b> Interviews with those involved in the development of the Strategy and its launch. This would only require a representative sample of those involved and includes members of the agency and stakeholder groups, internal DOL officials, those who responded in public consultation and the Minister. Development of Chronology of events including analysis of actions within Chronology.</p>	<ul style="list-style-type: none"> <li>• Would help to provide information for learning environment for strategy development in the future.</li> <li>• An opportunity to critically assess the process to date.</li> <li>• Would help develop questions to ask as part of stakeholders interviews.</li> <li>• Will help to map impact/outcomes of the Strategy.</li> <li>• Will help to identify stakeholders for Stakeholder evaluation.</li> </ul>
<b>Stakeholder interviews</b>  <b>Report presented outlining key findings on how strategy was implemented. This could be posted on the website.</b>	By 30 June 2007	<p><b>Stakeholder interviews</b> This is an opportunity to talk to the people for whom the Strategy is intended. The evaluation activity allows for information to be gathered on whether the intended audience is using the Strategy and its impact on them.  There are a number of ways that evaluation can be undertaken and cost/time constraints will help determine the most appropriate method: paper-based, email, face-to-face or focus group.</p>	<ul style="list-style-type: none"> <li>• This aspect provides information on impact of Strategy in terms of objectives for government leadership and industry/community engagement.</li> <li>• This is an ideal opportunity to get feedback from key stakeholders on their opinions.</li> <li>• This also shows the Strategy is an iterative instrument.</li> <li>• Look at who the Strategy is intended for and whether it has reached them, are they using the strategy and if so, how?</li> <li>• Could provide excellent resources for website in terms of advertising the Strategy and what it intends to achieve.</li> <li>• If those who are interviewed are happy for quotes to be used, could provide links to their organisations and what they are doing.</li> </ul>
<b>Stocktake of activities</b>  <b>Baseline information will be used to help determine where gaps are in information.</b>	This will be done by NOHSAC with report produced by 30 June 2006.	<p><b>Literature review and systems audit</b> Relate back to the ILO promotional framework – review of the national OSH situation. This summarises the existing OSH situation, including national data on occupational accidents and diseases, high-risk industries and occupations and the description of national OSH systems and capacity. National OSH profiles also facilitate a systematic review of the improvements in national</p>	<ul style="list-style-type: none"> <li>• In terms of monitoring impacts and outcomes, this information may be a key measurement tool to provide a baseline for analysis.</li> <li>• Information could be provided in future years on whether there is an increase in information and resources, and activity in the OSH sector.</li> <li>• This relates to regular monitoring in the process evaluation. It will be important to link the two.</li> </ul>

OSH systems and programmes.

**Formal evaluation of the WHSS after three years**

By June 2008

***Formal evaluation of project will include the following components:***

- Highlights of regular six-monthly reports;
- Outcome measurement information;
- Stakeholder interview undertaken in 2007; and
- Workplace monitoring survey undertaken beginning of 2008.

- The formal evaluation aims to look at where the Strategy is through combining all research and evaluation undertaken to date.
- It will provide a stocktake of current workplace health and safety based on research/evaluation activity.
- It is an opportunity to take stock of what has happened over the last three years and give those involved a chance to reflect on what has happened.
- The first report on outcomes should be completed, impact of the strategy should have been researched in workplaces (workplace monitoring), industry/community (stakeholder interviews) and the government sector (stakeholder interviews and regular reporting, meta evaluation).

## 6. Process Evaluation

Purpose of process evaluation: activity directed at describing or documenting what actually happened in the course of the programme. It can be crucial for communicating best practice to others who want to replicate elements of the programme.

This element of the evaluation looks at what is happening with the Strategy. It is important in informing stakeholders what is happening in the programme, what is working and what is not working. It also provides an opportunity to regularly report on activities in the Implementation Plan. Key projects include:

- Regular reporting on the Action Plan
- Meta-evaluation of evaluation activities in the Action Plan
- Information from the Stakeholder/key informant interviews will be helpful in documenting what happened

The outcome of this exercise will be:

1. Information on tasks undertaken in the Strategy and how they occurred
2. A presentation of stakeholders perceptions of the Strategy's impact or usefulness
3. An articulation of realistic outcomes for evaluation of the Strategy

Key questions to be considered in the evaluation

- Overview of how the Strategy has been implemented throughout its lifecycle
- What initiatives are being undertaken in response to the Strategy?
- Are deliverables in the Action Plan happening and how are they working?
- What can we do better?
- What evaluation is occurring in the Strategy?

The table over the page sets out the key projects that will be undertaken as part of the Process Evaluation.

<b>Process evaluation projects</b>			
<b>Evaluation activity and outcome</b>	<b>Timeline</b>	<b>Method</b>	<b>Ideas</b>
<b>Regular reporting on activities in Action Plan</b>	Every six months, starting December 2005	<p><b>Monitoring of activities</b> Development of a reporting method that allows government agencies and NGOs to report on progress within the Action Plan. This will be straightforward and is merely a reporting mechanism to ensure projects are on track. Key information to be provided might include: Project name; agency involved, stage of project; project outcomes.</p>	<ul style="list-style-type: none"> <li>• Provides basic information about how the Strategy is proceeding.</li> <li>• Fulfills reporting requirements for government agencies.</li> <li>• Provides backbone of information about what is happening in the WHSS.</li> </ul>
<b>Monitoring of awareness/reach of Strategy documents</b>	Included in six-monthly reporting	<p><b>Monitoring Strategy reach</b></p> <ul style="list-style-type: none"> <li>• Website visits by public</li> <li>• Number of agencies/stakeholders involved in Action Plan</li> <li>• Activities undertaken to publicise the Strategy e.g. conferences, talks, presentations given by government agencies.</li> </ul>	<ul style="list-style-type: none"> <li>• Helps look at who the Strategy is reaching.</li> <li>• Provides information on those who are interested in the Strategy – could we have survey for those who have accessed through website.</li> </ul>
<b>Are activities in Action Plan achieving their change?</b>	As per the Action Plan	<p><b>Evaluating particular deliverables</b> This differs to the evaluation activity above, as it looks in more detail at some deliverables within the Action Plan. The WHSS project team is working with agencies involved who will determine which are most appropriate to evaluate. Findings will be included as part of six monthly reporting.</p>	<ul style="list-style-type: none"> <li>• There are a large number of different projects within the Action Plan, how many have evaluation attached to them?</li> <li>• Will need to work with agencies involved to determine which deliverables will be evaluated.</li> <li>• Include questions to agencies about intended evaluation of projects – this would then be included in six monthly report.</li> </ul>

## 7. Impact/Outcome Evaluation

**Purpose of impact/outcome evaluation:** evaluation activity is directed at determining the positive or negative intermediate or longer-term impacts and outcomes of a programme. The evaluation looks at the impacts the programme has made and whether the programme has achieved the outcomes it is seeking i.e. *healthy people in safe and productive workplaces*. It is also an opportunity to look at the three intermediate outcomes.

This element of the evaluation will look at impacts and outcomes of the Strategy. It will provide an overall assessment of how the Strategy has worked. Outcome indicators will be developed and refined in the first three years of the Strategy for measuring progress against. These will include indicators already developed such as the Valid Injury Outcome Indicators for the New Zealand Injury Prevention Strategy as well as other workplace injury statistics from Statistics New Zealand.

In the case of this Strategy, the indicators developed will refer to the situation of workplace health and safety in New Zealand. When determining the success of the Strategy as an intervention, stakeholder interviews will be important as they are the key influencers in their sectors. The Evaluation Framework has Stakeholder interviews every three years.

In determining the impact of the Strategy, evaluation will focus on the intermediate objectives. At this stage, the idea would be:

- Industry leadership and community engagement. Stakeholder interviews would assess these aspects of the Strategy by interviewing key individuals in both sectors
- Preventive workplace cultures. A workplace monitoring survey will be used to assess changes in the workplace
- Government leadership and practices. Stakeholder interviews and meta-evaluation will be used to determine any changes.

The outcome of this exercise will be:

1. Information on whether the Strategy contributed to outcomes
2. Information on the impact of intermediate outcomes/impacts
3. A path forward for further work in workplace health and safety
4. Detailed information on what worked and what did not work in the WHSS. This information can be used in refining any further work undertaken in this area

Key questions to be considered in the evaluation

- Is the Strategy reaching its intended target? *Could be individuals targeted in particular workplaces or specified targets within the Strategy.*
- Do individuals have a better understanding of what the Strategy is trying to achieve?
- What has been the impact of deliverables in the Action Plan?
- What are the consequences – intended and unintended?
- How has Strategy contributed to workplace health and safety outcomes?
- What impact did particular programmes have in helping to achieve outcomes?
- What has worked and not worked in the Strategy?
- What else could be done to improve workplace health and safety based in the information we have gathered?

**Impact/Outcome Evaluation Projects**

<i>Evaluation activity</i>	<i>Timeline</i>	<i>Method</i>	<i>Issues and ideas</i>
<p><b>Outcome focus</b>  <b>Determining indicators and measurement for outcomes (Vision and three outcomes)</b></p> <p><b>Regular reporting on indicators once the Strategy has been in place for a certain amount of time – perhaps every two years.</b></p> <p><b>Publication of potential indicators for feedback on what stakeholders think of them.</b></p>	<p>Identify and develop all indicators by June 2006.</p> <p>Test and trial indicators by June 2007</p> <p>Report and publication of indicators in June 2008</p>	<p><b>Determining outcome measures</b>  Identify indicators for measurement of outcomes. This includes, injury, disease, exposure and productivity indicators. These indicators will be used to measure the current state of workplace health and safety in relation to the Outcomes in the Strategy. Prior to the indicators being confirmed, there needs to be work undertaken in identifying potential indicators, their reliability and validity. Indicator work is set out below:</p> <ol style="list-style-type: none"> <li>1. <b>Productivity</b> - Colin Cryer's piece of work on productivity indicators. The result of this work will help us determine indicators to measure productivity.</li> <li>2. <b>Injury</b> - Regular reporting by the Injury Information Manager at Statistics NZ as well as Valid Injury Outcome Indicators for New Zealand Injury Prevention Strategy (NZIPS).</li> <li>3. <b>Health</b> – developing indicators based on information obtained from NOHSAC.</li> <li>4. <b>Exposure</b> - developing indicators based on information obtained from NOHSAC.</li> </ol> <p>Projects that feed into the development of indicators are outlined below:</p> <ol style="list-style-type: none"> <li>5. NOHSAC report looking at <b>surveillance systems for workplace injury and disease</b>. This report will provide valuable information on where the gaps are and what types of information we will be able to collect for <b>health</b> and <b>hazard exposure</b>.</li> <li>6. NOHSAC <b>Stocktake</b>. This may provide useful information which we will be able use as a baseline.</li> </ol>	<ul style="list-style-type: none"> <li>• More work needs to be done on outcome indicators in most areas;</li> <li>• In the injury area, there are links with work for NZIPS and Stats NZ – workplace injury information will be published.</li> <li>• As indicators are finalised, we can place them on the website.</li> <li>• It will important to also show the process of developing indicators and rationale for them.</li> <li>• The development of indicators is crucial to the outcome of the project. Indicators provide an effective tracking device for the public.</li> <li>• If more accurate ways of measuring health are developed, this may lead to an increase in health-related statistics as professionals become aware and report disease in the workplace more accurately.</li> <li>• Both productivity and health may require some qualitative tracking before quantitative measures can be developed and piloted. It may be some time before measures can be achieved in these areas.</li> </ul>

7. NOHSAC report looking at the **cost of injury and illness**. This report will help provide productivity information in terms of cost of incidents.

<b>Measurement of indicators against outcomes</b>	From July 2008 onwards, report on outcomes every three years	<b>Measurement of outcome indicators</b> There are three outcome indicators (potentially four with exposure) to be measured. At the three-year stage, there should be agreement on what is to be measured, then three yearly reports following this.	<ul style="list-style-type: none"> <li>• This part of the evaluation helps us look at the state of workplace health and safety in NZ at a national level by measuring against agreed indicators.</li> <li>• The previous three years will have seen the development of indicators of some description to allow for measurement of some type.</li> <li>• Linking with other work will be important and using statistical information from the Injury Information Manager and Valid Injury Outcome Indicator project will help.</li> </ul>
<b>Impact focus</b>			
<b>Regular Stakeholder interviews</b>	June 2007 and every three years after	<b>Stakeholder interviews</b> Stakeholder interviews are undertaken to determine the success of the WHSS as an intervention/lever in improving workplace health and safety. The interviews are also an avenue to test impact the impact of intermediate outcomes for government, industry and community. They will be used to evaluate government leadership and practices and industry leadership and community engagement. This part of the evaluation is closely linked to the survey of workplaces below.	<ul style="list-style-type: none"> <li>• Helps monitor and track change through talking to key influencers in workplace health and safety.</li> <li>• Able to look at whether there is better co-ordination among key actors in area.</li> <li>• As stakeholders are the intermediaries, they will also have good idea of whether Strategy is impacting on wider change.</li> </ul>
<b>Monitoring of workplaces to track changes</b>	<p>Three yearly – starting 2008/09 year.</p> <p>Would be used for reporting along with Outcome indicators.</p>	<b>Survey of workplaces to assess change</b> The survey will track changes in different workplace to measure the intermediate outcome of preventive workplace cultures. My current thinking is that we would develop a stratified random sample to ensure link between workplaces and outcome variables. For example, we might determine that we need to talk to different sized enterprises in certain industries	<ul style="list-style-type: none"> <li>• Development of instrument could take place over first few years of Strategy with pilot undertaken in the second year. This would mean that the survey could go out in the third year.</li> <li>• This is a good way to assess changes in workplaces.</li> <li>• A stratified random sample ensures a wide representation across all variables.</li> <li>• Could be linked with other information provided through Valid Injury Outcome Indicators and Injury Information</li> </ul>

and certain regions. This would be based on the type of coverage we hope the WHSS will achieve.

The process would be as follows:

- Development of RFP – 05/06 financial year;
- Contracting an organisation to develop and pilot survey in consultation with DoL – completed by June 07. This will also be used as baseline information.
- Survey implemented after June 2007 to enable feedback into first report on Strategy in 2008.
- Survey then completed at regular intervals to be determined. At this stage, the suggestion is every three years.

Manager.

- Taking the Strategy to an enterprise level helps to personalise the experiences of these groups and provides tangible information to use. Linking statistics with the stories of what is happening will be valuable to include on the website.

## 8. Next steps

This document sets out an evaluation framework for the Workplace Health and Safety Strategy. The next step will be to develop detailed plans for all the projects outlined in the framework. The information will include:

- Objectives of the project;
- Research objectives;
- Key questions;
- Scope;
- Method; and
- Reporting strategy.

The above categories are important in developing any Request for Proposal documentation. Each project will, therefore, be developed to a stage where basic information is provided.

It is intended that these project plans will provide a reference point for development of evaluation throughout the Strategy.

## 9. Evaluation Challenges

It is important to consider the challenges the evaluation will face at the beginning of the process. This will help people involved in the Strategy to look at how these might be addressed. The table below assesses the challenges and how the Evaluation Framework aims to deal with them.

Evaluation challenge	Description of Challenge	Framework response
Complexity of the Strategy	The Strategy is a dynamic entity that is focused on a range of areas with a number of organisations involved.	Naturalistic inquiry will be used to ensure that the dynamic nature of the Strategy is evaluated.
Lack of baseline data in some areas	The Strategy is aimed at improving outcomes in areas where there is no or little baseline data	A Stocktake will establish what data there is and we will work from that point on improving data.
Lack of control group	Strategy is being implemented nationwide. There will be no treatment group and control group to make comparisons with.	<i>Outcomes</i> – looking at how the Strategy contributed to workplace health and safety outcomes. Specify that Strategy is one of the things contributing; <i>Intermediate outcomes</i> – stakeholder interviews will be used to look at government, community and industry leadership and workplace survey tool will be used to look at preventive workplace cultures. In developing survey, the first year will be used as counter-factual/control for workplaces.
Complexity of outcomes.	In some areas, there will be data that can be used to measure outcomes. However, other areas such as occupational diseases may prove a problem.	Research is being carried out to look at measurement at the moment. International experience in this area shows that health and exposure will be difficult to measure.
Different types of workplaces	The Strategy includes initiatives for different workplaces but measurement of change within these will be difficult.	Using a stratified random sampling frame will ensure that we get a good representation of workplaces in the survey.

## 10. Conclusion

This framework sets out a number of projects for evaluation of the WHSS. It is intended to provide evaluation information at a number of different levels, in the workplace, at a national level and at a project level. The combined projects should provide the Government with detail about the effectiveness of the WHSS.

The final product will be a detailed evaluation framework. The framework will include information about each project and how it fits within the framework. This document will then be placed on the WHSS internet site for easy access.

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<sup>i</sup> Documents that have proved useful in the development of the Evaluation Strategy include the following:

1. Duigan, Dr Paul, *Introduction to Strategic Evaluation: Section on Evaluation Approaches, Purposes, Methods and Designs*. Accessed February 2005 at <http://www.strategicevaluation.info/documents/104.htm>
2. Sridharan and Lopez, *Methodological Lessons Learned from the Process Evaluation of a Comprehensive Strategy for Serious, Violent and Chronic Juvenile Offenders*. In *Social Policy Journal of New Zealand*, Issue 22, July 2004: 128-147.
3. Patton, Michael Quinn (2001), *Qualitative Research and Evaluation Methods – 3<sup>rd</sup> Edition*. Sage Publications Inc, Thousand Oaks, California.