

## Quick Guide

### Informal, Formal and Mandatory Referrals to the EAP

|  | Informal Referral   | Formal Referral   | Mandatory/DFW/DOT Referral   |
|--|---|---|--|
| <i>Make this type of referral when</i> | <ul style="list-style-type: none"> <li>The employee mentions personal concerns to the supervisor, manager or HR.</li> <li>The employee is exhibiting performance decline in its early stages.</li> <li>The supervisor wants to offer a confidential resource for the employee to address personal concerns that may be affecting the employee's quality of life or ability to perform his/her job duties.</li> <li>The employer does not expect feedback on the employee's attendance and compliance with EAP recommendations.</li> </ul> | <ul style="list-style-type: none"> <li>The employee is not meeting performance expectations and the supervisor has engaged the employee in a performance improvement plan.</li> <li>The supervisor wants to offer a confidential resource for the employee to address personal concerns that may be affecting the employee's ability to perform his/her job duties.</li> <li>The employer (HR or supervisor) wants feedback on the employee's attendance and compliance with EAP recommendations.</li> <li>Continued employment is NOT contingent on participation in the EAP.</li> </ul> | <ul style="list-style-type: none"> <li>The employee has violated a workplace policy (e.g. harassment, drug-free workplace, threat of violence, arrest).</li> <li>The policy violation is grounds for termination.</li> <li>The workplace provides a "Last Chance Agreement" or other document to the employee which stipulates the employee may engage in EAP services in lieu of immediate termination and that any subsequent violation of the policy may result in immediate termination.</li> </ul>  |
| <i>What to Do</i>                      | <ul style="list-style-type: none"> <li>Provide the phone number for the EAP and an EAP brochure.</li> <li>Suggest to the employee that he/she call PAS to access supportive services that can help him/her resolve personal or job concerns.</li> <li>Focus on performance expectations. Provide regular, consistent feedback to employee.</li> <li>Seek guidance from management and/or HR if performance continues to decline or does not improve.</li> </ul>   | <ul style="list-style-type: none"> <li>Focus on performance concerns and expectations. If employee mentions personal concerns, recommend that he/she seek guidance through the EAP to address those concerns.</li> <li>Focus on developing an improvement plan with the employee.</li> <li>Provide regular, consistent feedback to employee about performance – expectations, improvements, concerns.</li> <li>Minimize discussions with employee about personal reasons for NOT meeting performance expectations.</li> </ul>   | <ul style="list-style-type: none"> <li>For policy violations, consider consulting with legal counsel prior to taking any action.</li> <li>If a "Last Chance Agreement" or other document is presented to the employee with a requirement that employee participate in EAP services, consider including a statement to the effect that:               <ul style="list-style-type: none"> <li>Employee must call the EAP to engage in services by &lt;xxx date&gt;;</li> <li>Employee is required to participate in EAP services and comply with any and all recommendations made by the EAP;</li> <li>Employee must sign an Authorization for Release of Information permitting the EAP to report to workplace on employee's attendance and compliance with recommendations made by the EAP.</li> </ul> </li> </ul> |
| <i>What NOT to do</i>                  | <ul style="list-style-type: none"> <li>Diagnose employee's possible mental or medical conditions(s).</li> <li>Recommend any form of "treatment" for an employee. EAP consultants are qualified to assess needs, develop a plan of action and refer to appropriate providers for various levels of care and specialties.</li> </ul>  | <ul style="list-style-type: none"> <li>Diagnose employee's possible mental or medical condition(s).</li> <li>Recommend any form of "treatment" for employee. EAP consultants are qualified to assess needs, develop a plan of action and refer to appropriate providers for various levels of care and specialties.</li> </ul>  | <ul style="list-style-type: none"> <li>Make statements stipulating intensity, frequency or duration of participation, or proscribing treatment (e.g. "employee will attend 3 EAP sessions"). This severely limits the EAP's ability to recommend and report compliance on a plan of action appropriate to the EAP's assessment of the employee.</li> </ul>   |

| <b>Process</b>                 | <b>Informal Referral</b>  | <b>Formal Referral</b>   | <b>Mandatory Referral</b>   | <b>Mandatory DFW/DOT Referral</b>   |
|--------------------------------|---|--|---|---|
| <p>Call PAS (800) 356-0845</p> | <p>Speak with Client Services Specialist to provide:</p> <ul style="list-style-type: none"> <li>• Your name;</li> <li>• Employee’s name, job title, length of employment;</li> <li>• Reason for the referral (may be <i>personal or performance concern</i>)</li> </ul> | <p>Speak with Client Services Specialist to provide:</p> <ul style="list-style-type: none"> <li>• Your name;</li> <li>• Employee’s name, job title, length of employment;</li> <li>• Who will be receiving updates after employee is seen by EAP;</li> <li>• Contact information for person receiving updates;</li> <li>• Reason for the referral (documented performance concerns);</li> <li>• Deadline for employee to call to initiate EAP services;</li> <li>• Desired outcome – how will you know performance concern has been improved or resolved?</li> </ul> | <p>Speak with Client Services Specialist to provide:</p> <ul style="list-style-type: none"> <li>• Your name;</li> <li>• Employee’s name, job title, length of employment;</li> <li>• Who will be receiving updates after employee is seen by EAP;</li> <li>• Contact information for person receiving updates;</li> <li>• Reason for the referral (policy violation);</li> <li>• Deadline for employee to call to initiate EAP services;</li> <li>• Desired outcome – how will you know performance concern has been improved or resolved?</li> <li>• Copy of “Last Chance Agreement” or other document indicating employee’s understanding of nature of policy violation.</li> </ul> | <p>Speak with Client Services Specialist to provide:</p> <ul style="list-style-type: none"> <li>• Your name;</li> <li>• Employee’s name, job title, length of employment;</li> <li>• Who will be receiving updates after employee is seen by EAP;</li> <li>• Contact information for person receiving updates;</li> <li>• Substance use information: testing date, substance(s), reason for test, or self-disclosure;</li> <li>• Whether employee is in safety-sensitive job, falls under DOT regulations;</li> <li>• Whether employee has been removed for job, safety-sensitive position, placed in alternate position;</li> <li>• Deadline for employee to call to initiate EAP services;</li> <li>• Your organization’s process for employee’s return to work;</li> <li>• Copy of “Last Chance Agreement” or other document indicating employee’s understanding of nature of policy violation.</li> </ul> |

| Process                                      | Informal referral   | Formal referral   | Mandatory referral   | Mandatory DFW/DOT referral   |
|--|---|---|--|--|
| <i>Speak with employee</i>                   | <ul style="list-style-type: none"> <li>Let employee know that you are concerned about their wellbeing and/or performance decline.</li> <li>Provide EAP brochure and suggest that employee call PAS for support and guidance in resolving personal or performance concerns.</li> </ul> | <ul style="list-style-type: none"> <li>Discuss with employee your concerns for their performance.</li> <li>Present a performance improvement plan to employee.</li> <li>Make a “strong recommendation” that employee contact PAS to address personal or work-related concerns impacting their ability to meet performance expectations.</li> <li>Give employee a deadline to call PAS and tell employee that PAS will be advising you of his/her contact with PAS.</li> </ul> | <ul style="list-style-type: none"> <li>Notify employee of policy violation and severity of violation.</li> <li>Present employee with documentation of expectations to immediately comply with policy.</li> <li>If participation in EAP services is required for continued employment, give employee deadline to call PAS and let employee know that they <i>must</i> follow EAP plan of action in lieu of immediate termination.</li> <li>Advise employee that PAS will be advising the employer of his/her contact with PAS.</li> </ul> | <ul style="list-style-type: none"> <li>Notify employee of DFW policy violation, positive test, etc.</li> <li>Present employee with documentation of expectations to complete assessment and treatment plan as determined by EAP.</li> <li>Advise employee that PAS will be advising the employer of his/her contact with PAS.</li> </ul>   |
| <i>Once employee engages in EAP services</i> | <ul style="list-style-type: none"> <li>You will not receive feedback about the employee’s participation in EAP services.</li> </ul>   | <ul style="list-style-type: none"> <li>It is the employee’s choice whether or not to utilize EAP services to resolve performance concerns.</li> <li>Focus on performance, not personal concerns.</li> </ul>   | <ul style="list-style-type: none"> <li>Employee must successfully complete the EAP plan of action.</li> <li>Focus on employee’s performance and compliance with company policy.</li> </ul>   | <ul style="list-style-type: none"> <li>Federal DOT regulations require that employees who fall under DOT regulations must be evaluated by a Substance Abuse Professional (SAP). It is important that you <b>notify PAS if the employee is covered by DOT regulation.</b></li> <li>Employee must successfully complete the EAP plan of action.</li> <li>Compliance with DFW policy is monitored by your organization through random drug testing upon employee’s return to work, per your organization’s DFW policy.</li> </ul> |

| <b>Process</b>                             | <b>Informal referral</b>   | <b>Formal referral</b>   | <b>Mandatory referral</b>  | <b>Mandatory DFW/DOT referral</b>  |
|--|--|--|--|--|
| <i>After employee engages EAP services</i> | <ul style="list-style-type: none"> <li>The employee is free to utilize whichever EAP services may be helpful in resolving personal or early stage performance concerns.</li> </ul> | <ul style="list-style-type: none"> <li>The employer will receive notification from PAS of the employee's contact with PAS.</li> <li>After employee completes initial assessment and signs Authorization for Release of Information (ROI), the employer will be notified of the employee's appointments and compliance with recommended plan of action.</li> <li>The PAS Clinical Liaison will solicit feedback from you about the employee's progress in performance improvement. This is very important to the resolution of performance concerns and success of the EAP referral.</li> </ul> | <ul style="list-style-type: none"> <li>The employer will receive notification from PAS of the employee's contact with PAS.</li> <li>After employee completes initial assessment and signs Authorization for Release of Information (ROI), the employer will be notified of the employee's appointments and compliance with recommended plan of action.</li> <li>The PAS Clinical Liaison will solicit feedback from you about the employee's progress in performance improvement. This is very important to the resolution of performance concerns and success of the EAP referral.</li> </ul> | <ul style="list-style-type: none"> <li>The employer will receive notification from PAS of the employee's contact with PAS.</li> <li>After employee completes initial assessment and signs Authorization for Release of Information (ROI), the employer will be notified of the employee's appointments and compliance with recommended plan of action.</li> <li>The employer will be notified when the employee has made adequate progress in treatment and qualifies for participation in the return-to-work process.</li> <li>NOTE: PAS does not provide return-to-work drug testing.</li> </ul> |
| <i>Referral completion:</i>                | <ul style="list-style-type: none"> <li>Case is closed when EAP consultant and employee agree that concerns have resolved or improved satisfactorily.</li> </ul>                    | <ul style="list-style-type: none"> <li>Referral will be closed when adequate performance improvement has been achieved and maintained, and upon mutual agreement by the employer and the PAS Clinical Liaison.</li> </ul>  | <ul style="list-style-type: none"> <li>Referral will be closed when adequate performance improvement has been achieved and maintained, and upon mutual agreement by the employer and the PAS Clinical Liaison.</li> <li>If needed, PAS will generate a letter to your organization confirming completion of EAP plan of action.</li> </ul>   | <ul style="list-style-type: none"> <li>Referral will be closed when employee has completed all treatment recommendations, has demonstrated ability to remain drug-free and has successfully returned to work.</li> </ul>   |