

Employee assistance program Management referrals

Guidelines for managers and human resources

The purpose of this guideline is to outline how the Optum Behavioral Solutions (OBS) Management Consultant (MC) can assist managers and human resources to effectively deal with employee workplace issues.

Some of the most common reasons a company may refer an employee to a MC are listed below:

- Help an employee make the necessary corrective actions concerning work performance and behavior by addressing personal/behavioral issues that may be interfering with their ability to meet performance expectations.
- The MCs are licensed professionals who can help an employee access the appropriate behavioral health referrals.
- Provide consultation and help managers develop action plans when a threat of violence surfaces (either towards self or others).
- Provide appropriate substance abuse assessment, referral, and monitoring.
- Manage DOE/NRC, DOD, FAA, DOT/SAP requirements.

Management Referral Definition

A management referral occurs when a manager or Human Resources representative refers an employee to the EAP concerning workplace issues and the expectation is that the employee is to adhere to all EAP recommendations (signed releases are obtained from the employee).

Release of Information

- A Release of Information (ROI) must be signed by the employee in order for the manager and OBS to communicate. This release of information (ROI) allows or permits the MC to communicate adherence to EAP recommendations to the referring manager.
- More than one person can be designated to receive information from the MC as long as their names are listed on the ROI.
- The referring manager will receive information regarding progress in the areas of attendance and adherence with the EAP provider's recommendations. All details pertaining to clinical or protected health information will remain confidential.

Please note: If a regulatory referral, the above limited information can vary based on the particular regulatory body and requirements

The MC will provide the ROI Forms by fax or email when informed of the management referral. The ideal situation is the manager contacts the MC before meeting with the employee so the forms are available for signature when the manager meets with the employee regarding the EAP referral.
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Helpful information for the Management Referral Process

The focus of a management referral is always on workplace issues. The more information a MC has on what led to the referral, the actions that management have taken to date, etc., the more effectively the MC can help the employee choose to make the corrective actions. The following list is information that is important in a good management referral:

- The reason for the referral at this time (e.g. why now?).
- A description of the employee's current behavior, job description and responsibilities, interactions with coworkers, etc.
- Corrective actions that have been documented, currently and previously.
- The employee's response to the corrective action.
- The manager's relationship to the employee.
- The history of the employee's performance conduct.
- The manager's expectations from the employee at this point.
- What the manager intends for corrective action at this point.
- Company policies and procedures that govern the employee.
- With whom has the manager conferred regarding the situation (e.g. Human Resources, Legal, etc.)
- Lab reports in the case of positive test for alcohol or drug use.
- Copy of last chance agreement and/or other written counseling documents presented to the employee for disciplinary purposes.
- Work status (e.g. regular, sick time, suspended without pay, etc.)
- Disability status.
- Position with company, length of employment, hours worked.
- Whether the employee is subject to regulatory requirements such as DOT, NRC, DOE, etc.

Please note: The MC may also utilize an Assessment Form which is sent to the manager prior to making the referral to obtain the above information.

Information to be released to Managers by Optum Behavioral Solutions MC

Information released to the manager by the MC regarding the EAP provider's recommendations is typically limited to the following:

- Employee's attendance and adherence to the EAP provider's recommendations.
- Completion (or revision) of the recommendations.
- Recommendations for any workplace adjustments facilitate the employee's return to work.

MC is the Liaison between EAP provider and/or behavioral health provider when a management referral is made

The MC is the liaison for all communication between the EAP provider and the workplace specifically related to the management referral. The goal is to protect the employee's confidentiality and to protect the workplace from clinical, medical, and personal information not directly related to the workplace concerns.

Reports to Managers

The MC will make regular reports to the manager on the employee's adherence with the requirements of the management referral. The MC and the manager will agree upon the schedule of reporting. Reporting can be made by telephone and/or by written document. Standard written documents that may be sent to the manager include:

- EAP Initial Report To Company
- EAP/Management Referral Status Report
- EAP/Management Referral Completion Report
- Return To Work Status Report (if appropriate)

Follow Up Reports

Follow up status reports will continue until the recommended treatment is completed and the manager determines continued monitoring by the MC is no longer necessary

