# Employee Assistance Program

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Agnesian Healthcare is sponsored by the Congregation of Sisters of St. Agnes
Employee Assistance Program (EAP)

Program Philosophy

The Agnesian Work & Wellness EAP believes that a well-implemented EAP can provide effective prevention and intervention methods for assisting individuals by identifying and reaching them in the workplace before personal concerns seriously affect or disrupt their quality of life. The EAP emphasizes a dual strategy to reach and assist troubled employees.

A variety of promotional activities and materials are utilized to stimulate employees to voluntarily and confidentially seek help for concerns before they begin to impact their performance on the job. At the same time, managers must be given adequate training in constructively confronting employees when a decline in job performance becomes evident and is potentially related to personal issues. In this way, an EAP can serve as an effective human resources management tool, as well as a desirable employee and family wellness benefit.

The objective of Agnesian Work & Wellness in establishing an EAP is to provide a solid, basic and essential core of EAP services to each employer and its workforce. These core services include program implementation and consultation, ongoing promotion, management training, assessment and referral services, and program evaluation.

Scope of Services

1. Management Consultation – Consultation is provided to managers, supervisors and leadership staff on program policy and procedural matters, as well as on how EAP relates with related employee health and safety policies (family and medical leave, ADA, drug testing, sexual harassment, workplace trauma, etc.) In addition, advice is available upon request to managers and supervisors on how to intervene when there are production and/or behavioral concerns with individual employees.

2. Supervisor EAP Training – EAP supervisory training is used to educate leadership staff on how to identify troubled employees and how to constructively confront them and refer them to the EAP for assistance. The initial EAP training usually runs two hours and abbreviated refresher sessions with supervisory personnel are recommended every 12 to 18 months. Other supervisory trainings on pertinent topics (workplace violence, substance abuse, etc.) are also available.

3. Employee Orientation – On-site orientation sessions inform all employees about the program services. These workplace sessions are scheduled at the employer’s convenience and are used to familiarize employees with the services provided through EAP. The sessions are a maximum of 30 minutes in length and can be scheduled to accommodate company staffing and production demands.

4. EAP Program Promotion – Initial information about the EAP is provided to the employees and family members through a letter sent to the home with an enclosed brochure discussing the services and how to access the program. EAP brochures, cards and posters are available to the company on an ongoing, as-needed basis. Topical employee health materials can be provided on request as payroll inserts, as internal distribution memos or as articles for inclusion in in-house newsletters.
5. **Employee Life and Work Enhancement Presentations** — EAP can provide on-site presentations to at-large employee groups on various personal well-being, life and family management, and job success topics. These programs, while diverse in their subjects, are all designed to promote better living and work habits, and to improve the interpersonal skills of employees to enhance job satisfaction, performance and success.

6. **Assessment/Counseling** — Any regular status employee, or family/household member of the employee, may use the EAP for personal consultation on concern evaluation, solution identification and/or referral options. Some issues are resolvable in the contracted sessions with the EAP counselor; others may need to be referred to an appropriate specialty resource depending upon the presenting issue and assessment by the counselor. If an employee or their family/household member is referred to another source, they are responsible for any cost for the service. If health insurance benefits are not available or do not apply, the EAP has resources to refer clients to that may be based on ability to pay, have a sliding fee scale or may be available at no charge.

7. **Case Management of Formal (Job Performance) Referrals** — EAP will serve as the case manager of management-initiated referrals of employees with work performance concerns. Such “formal” referrals result when management believes serious issues on the job in terms of attitude, behavior or productivity cannot be rectified without professional assistance. If, following an in-person assessment, the EAP counselor recommends specialized treatment and/or ongoing counseling for the employee, a referral for the recommended treatment will be facilitated. The EAP counselor will then act as a liaison between the treatment provider and company management to assure continuous, objective and professional follow-up and feedback on the employee’s compliance with treatment.

8. **24-hour Telephone Availability** — The EAP is available 24 hours a day, seven days a week, by calling (920) 924-0614 or (800) 458-8183. During regular business hours, EAP support associates will answer incoming calls, schedule appointments for employees and/or family/household members, or connect callers directly with a master’s-prepared mental health professional if necessary or desired. Calls received after regular business hours are handled by trained hospital psychiatric nurses who provide backup support to the EAP program.

9. **Critical Incident Stress Management** — Situations sometimes occur in the workplace or in the community that affect the work environment such as sudden death, serious injury, natural disasters or violent acts that may warrant the need for critical incident stress management and crisis intervention. Our master’s-prepared mental health professionals will come to the work site and conduct small group debriefing sessions. Individual assistance will also be extended to those people most severely impacted by the situation. Consultation is provided to organizational leaders regarding how best to assist employees during this time.

10. **Statistical Program Activity Reports** — Reports on employee utilization and service events are given to the company on a quarterly basis with information summarizing training and promotional activities and other on-site programming. Client statistical data is also provided including the number of employees and families contacting the EAP during the period, nature of reported concerns, referral resources used and client closeout status, as well as other pertinent utilization data. No client identifying information is included; instead, cumulative data is submitted to the company in the reports.
11. Quality Assurance/Program Evaluation – All services provided through the EAP are monitored for quality assurance on a regular basis. Clients are provided satisfaction surveys, educational and training programs are evaluated by participants, and the company is surveyed periodically regarding their satisfaction of the EAP services and staff. Referral agencies are also evaluated by EAP staff and follow-up with clients is performed on an ongoing basis.

12. Substance Abuse Professional (SAP) Services – Assessment, follow-up and case management services for employees who have violated Department of Transportation (DOT) regulations.

13. Legal Referral – A specialist will match you with the attorney best suited to discuss your matter and answer questions based on the area of law and the location of the legal matter.

14. Work-Life Services – Consultation for childcare and parenting, adoption, education and elder care. Services also available for daily living, health and well-being.
What’s an EAP?

An EAP is a (formal structured) service offered and paid for by an employer to provide confidential assistance to employees and their immediate family/household members in dealing with personal concerns. These personal concerns can include health, marital, family, financial, alcohol, drug, legal, emotional, stress and others.

EAP is a resource!

For the employee, the EAP provides a free, confidential, professional resource that can assist him/her in addressing a wide variety of personal concerns. Personal concerns of an employee’s family/household members can also affect an employee’s job-related behavior. For this reason, the EAP is also extended to these individuals.

For management, the EAP is designed to identify, assist and resolve productivity issues associated with employee job performance. The EAP does not replace the organization's human resources specialist, but provides an additional resource that can assist the management in addressing difficult employee performance issues. The manager who effectively uses the EAP can avoid becoming the “employee’s counselor” and falling into the traps associated with that role. Instead, the manager utilizes the EAP to assist him/her in developing a plan that addresses unacceptable job-related behavior.

*In a nutshell, EAP provides convenient, quick access to quality assistance, 24 hours a day, seven days a week.*
Employee Benefit Summary & Access

Benefit Summary

VOLUNTARY
The employee or the employee's family/household members make a personal choice whether to utilize the service.

CONFIDENTIAL
No one needs to know the program is being utilized unless the person discloses it himself or herself - or unless a written consent is signed. The only exceptions would be those mandated by law, such as child abuse or severe, life-threatening situations. Written consents are utilized for referrals to ongoing service providers and for employers in the case of mandatory referrals.

PROFESSIONAL
Professional, master's-prepared mental health professionals provide the assessment, referral and short-term counseling services that are provided through this program.

ACCESSIBLE
Employees or family/household members can call the EAP 24 hours a day, every day of the year, and ask to schedule an appointment or speak to an EAP mental health professional. Convenient counseling locations are available.

BROAD BRUSH
Any personal concern can be discussed in confidence with a professional counselor through the EAP.

FREE
The employer provides this service at no cost to employees or family/household members. If counseling or treatment beyond the initial EAP session(s) is necessary, costs may be covered by health insurance. When necessary, referrals for ongoing help can be made to agencies with sliding scales or special reimbursement arrangements.
How to Access the Program

Call (920) 924-0614 or (800) 458-8183 to access the EAP program.

Identify your employer, or the employer of your family/household member through whom the EAP is offered, and indicate your desire to schedule an appointment or to speak with an EAP counselor.

If your situation is critical and you need immediate assistance, please indicate that to the Agnesian HealthCare associate answering your call. You will be connected with an EAP counselor right away.

The EAP offers daytime and evening appointment times (excluding weekends). Arrangements can be made to talk extensively with an EAP counselor over the phone or to meet with one at a location close to work or home.

All active employees and their family/household members can individually or collectively use the services of the EAP. EAP associates encourage participation as a family unit in the EAP process whenever possible and appropriate.

If a referral to another professional or facility for ongoing counseling or acute treatment is recommended, the EAP counselor will assist in locating qualified resources covered under your health insurance plan or that are otherwise affordable to you.

All appointments with and assistance provided by EAP counselors is free of charge to the employee and his/her family/household members.

No concern is too small or too big for the EAP. Call with your questions or need for assistance with any personal or family concern.
Management - Why use EAP?

Important reasons to use EAP

Employees are a company’s most valuable asset. Recruiting and training new employees can be costly. In addition, the loss a company sustains when an employee is terminated can be tremendous when taking into consideration the experience, role modeling and potential leadership abilities that also leave. In most situations, it is in the company’s best interest to try to assist employees to improve job performance. That’s where EAP can help.

One troubled employee can affect five to seven other employees.
Think about the loss in productivity when one person has difficulty performing his/her job because of a personal concern. Also, think how employee tardiness and/or absenteeism affect co-workers and productivity. Add to that the productivity loss caused by a change in attitude and/or morale as it relates to performing job tasks or dealing with co-workers. Now, multiply that loss of productivity by five to seven times. That’s what can happen when personal concerns are left unattended.

Troubled employees have a higher work injury rate.
Employees with personal concerns often have “their minds on things other than the job at hand.” Worrying about a personal concern may cause a troubled employee to be less rested and perhaps not as quick to respond in any given situation.

Occasionally, an employee resorts to drugs and alcohol to help them “escape” the troubling situation. Serious work issues, including work injuries involving the affected employee and/or co-workers, can follow when these remedies find their way into the workplace.
Management - Why use EAP?

Personal Concerns Can Lead to On-the-Job Performance Issues

Personal Concerns / Warning Signs / Performance Concerns

- Alcoholism
- Drugs - legal, illegal
- Marital issues
- Family issues
- Financial – debt, gambling
- Physical illness
- Emotional concerns
- Interpersonal concerns
- Legal concerns
- Vocational issues
- Absenteeism
  - Monday, Friday, after payday
  - Absent from job location
  - Sleeps in and calls in sick
  - Away because of accidents
  - Leaves early, frequent requests
  - Always a crisis
- Lateness
  - Frequently comes to work late
  - Frequently takes extended coffee or meal breaks
  - Frequently late with deadlines
- Accidents
  - Because of faulty judgment becomes overly cautious and impedes productivity
  - Many mistakes, Covers for mistakes
  - blames others, avoids self-reflection

- Morale
  - Increasingly isolates from fellow employees
  - Verbally denies job concerns
  - Vindictive of peers who report concerns
  - Co-workers resentful of extra work
  - Co-workers performance may decrease
  - Inconsistent and sporadic job performance
  - “Sometimes the best” to “sometimes the worst” performer
  - Overall decreasing quality and quantity of performance
- Mistakes
- Excessive absenteeism
- Promises
- Diminished interpersonal relationships
- Irritable
- Overreacts
- Avoids and may become suspicious of supervisor
- Antisocial or cliquey
- Affects morale or unit
- Personal concerns interfere with work environment
- Garnished wages
- Frequent calls
- Excessive eliciting of peer’s support about concerns
- Appears to move from one crisis to another
Range of Concerns
A wide variety of concerns can affect an employee’s job-related behavior or performance. They include:
- Alcohol and/or drug abuse (personal or family/household member)
- Marriage and/or family issues
- Financial difficulties
- Hidden physical illness (self or family/household member)
- Emotional concerns (stress, depression, etc.)
- Interpersonal concerns
- Legal
- Elder care
- Combination
- Others

Alcohol and Other Drug Abuse
There is no question about the tremendous impact that drug and alcohol abuse has in the workplace. Drugs and alcohol are thought to cost American businesses more than $150 billion a year. Their use, including prescription drugs (e.g. tranquilizers or painkillers taken beyond what is deemed medically necessary), can totally control an individual’s life. This control can get to the point that the importance of drugs and alcohol eventually outweigh the importance of friendships, personal health and work.

It is not surprising for an individual who abuses alcohol and/or drugs to experience concerns with relationships, finances or work performance and/or attendance. Since these issues could signal a potential concern with drug or alcohol abuse, refer the troubled employee to the EAP. EAP counselors are trained in screening for alcohol and/or other abuse. If abuse in this area is identified as the root of an employee’s personal concern, the counselor can work to steer the employee to appropriate professional help.

Marriage and Family Issues
Issues within the family unit may cause poor on-the-job performance. Marital relationships usually produce stress at one time or another, and sometimes this stress is quite severe. Understandably, concern about a marriage issue can distract an employee on the job. An employee’s job concentration may also be affected by concerns with his or her children. Any of these situations may require professional assistance. If the employee can be referred to the proper helping agency, he/she may be able to find solutions that will help relieve the situation.

Financial
Almost everyone has experienced financial difficulties at some point and can understand the impact of such difficulties. Financial issues tend to weigh heavily on one’s mind and can result in an inability to concentrate fully on the job at hand. Some officials estimate that financial concerns rank second among off-the-job issues that cause job performance difficulties. Professional agencies that offer assistance in budget management and debt management can effectively alleviate difficulties in this area.

Hidden Physical Illness
Sometimes, an employee experiences job performance difficulties because of an illness or physical disability of which he/she is not aware. Visual and auditory concerns may exist for months or even years before detected. Illness, such as diabetes, may be the cause of declining job performance. Often, a physical check-up is all that is required to diagnose and correct these concerns.

Emotional
Stress, depression and anxiety are common causes of workplace inattentiveness, moodiness and absenteeism. A thorough assessment and recommendations related to treatment options can bring helpful results.
Interpersonal Concerns
Personality concerns are occasionally the cause of job performance difficulties. The manifestations of such concerns may be erratic behavior and erratic performance. They may also produce interpersonal conflicts resulting in decreased morale among co-workers. Professional counseling resources are often necessary for the resolution of these difficulties.

Legal
Legal issues in and of themselves are not often the cause of poor job performance. However, these issues may be tied to other problems such as alcohol, other drug, marital or financial problems. Referral to an appropriate attorney or legal clinic may be necessary.

Elder Care
As the population ages, more families are distressed with difficult decisions regarding aging parents or other relatives. These concerns can distract an employee from workplace effectiveness. Talking through these concerns and gathering resources can be valuable.

Combinations
It should be noted that in most cases, job performance difficulties are caused by a combination of concerns rather than any one issue. For example, an alcohol concern may involve marriage, family and/or financial concerns in addition to the alcohol abuse. In addition, individuals experiencing the effects of alcohol may not be abusing the alcohol themselves. Instead, they may be the family member or significant other of the individual abusing alcohol and experiencing these symptoms.

Note: Everyone has issues!
All people suffer personal issues at some time in their life. While some issues may be resolved with relative ease, others are more complex and require the aid of special resources. Often, to ignore or refuse this aid can mean that the concern continues unresolved only to develop into a more serious situation. While the EAP mental health professional can supply information concerning the special helping resources, it is ultimately the employee’s responsibility to avail himself/herself of these resources.
Guide to Observing Behavioral Changes
This guide may be used as a resource. Listed below are behavioral changes that can be observed in a troubled employee. They are categorized into three areas: work performance, social interactions and personal health.

**WORK PERFORMANCE:** Employee’s on-the-job behavior and work habits that directly impact efficiency and effectiveness of task accomplishment.

The key words in relation to the job performance concerns noted below are continuing and repeated. When continued or repetitive patterns of job performance deterioration begin to appear, documentation is required.

**Has the employee’s work 1. QUALITY OR QUANTITY changed?**
- Greatly changed speed of work
- Changed level of work involvement

**Has the employee made more 2. MISTAKES OR BAD JUDGMENTS?**
- Has more numerous mistakes/accidents
- Laughs off errors or reprimands
- Denies mistakes
- Unnecessarily condemns self for mistakes

**Has the employee’s 3. EFFICIENCY lessened?**
- Has trouble arriving at decisions
- Often fails to meet deadlines
- Needs repeated directions for easy tasks

**Does the employee have more difficulty 4. CONCENTRATING?**
- Forgets important or obvious things
- Acts without thinking
- Daydreams too much
- Doodles excessively
- Repeats same action over and over

**How much is the employee 5. ABSENT FROM THE JOB?**
- Is late or absent especially Monday or Friday
- Often takes off half days
- Leaves work without notice
- Has frequent unplanned vacation days
- Takes a lot of sick leave
- Gives improbable excuses of absences

**Is the employee 6. ABSENT “ON THE JOB”?**
- Wanders around the work area a lot
- Takes excessively long lunches and breaks
- Avoids a part of the work area because of fear (stairways, crowded areas, cafeteria)
- Gets sick frequently while at work

**Does the employee adhere to 7. COMPANY POLICY?**
- Steals or damages property
- Disregards rules
- Bends the rules

**Have you noticed the employee becoming 8. OVERCAUTIOUS?**
- Overreacts to normal conditions
- Freezes or disappears in an emergency
- Is overly concerned about details/accuracy
- Double checks work too much

**Has the employee become 9. OVERZEALOUS?**
- Never takes breaks
- Comes to work early
- Stays around work
- Volunteers for excessive amounts of overtime
- Suddenly exceeds work expectations
Has the employee's 10. COOPERATION with CO-WORKERS changed?
- Refuses to share equipment or information
- Refuses to take directions
- Refuses to accept help from others
- Refuses to help others

SOCIAL INTERACTIONS: Type and quality of employee's relationship with work associates that may impact on team performance.

Does the employee appear 1. LESS SOCIABLE than before?
- Isolate/withdrawn
- Poor eye contact
- Shallow friendships
- Overly suspicious of others
- Smiles and talks to self
- Holds grudges/sulks
- Refuses social contacts

Has the employee become 2. TOO SOCIABLE?
- Talks too much with other employees
- Plays pranks/jokes
- Monopolizes conversations
- Inappropriate sexual behavior
- Flashes money

Are there changes in the employee's choice of 3. FRIENDS?
- Especially for breaks/lunch or transportation
- Only those easily dominated

Are there changes in the way 4. OTHER WORKERS react to him or her?
- Ignore or avoid
- Mistrust
- Get angry with
- Plays pranks on
- Become condescending
- Joke about
- Complaint about
- Refuse to join for lunch/coffee

Does the employee show more 5. ANGER?
- Inpatient
- Argumentative
- Overreaction to real or physical fights imagined criticism
- Temper outbursts
- Irritable

Has the employee changed in regard to 6. MANIPULATING others?
- Builds up brownie points
- Lies
- Brags/exaggerates
- Shows off
- Acts naive or innocent
- Borrows money

Have you noticed any changes in the employee's 7. SPEECH BEHAVIOR?
- Talks slower/faster
- Talks more/less
- Stammers
Has the employee’s 8. SPEECH CONTENT changed?
- Jumps from topic to topic
- Talks about hopeless future
- Preoccupied with suicide, disaster, destruction
- Preoccupied with one topic
- Has stopped/started talking about family interests

Does the employee have more 9. COMPLAINTS about:
- Physical ailments
- Family/money concerns
- Back pain/muscle aches
- Lack of privileges
- Co-workers or superiors
- Filling out required form
- Being ignored/left out
- Has stopped complaining

Does the employee engage in a lot of 10. RISK-TAKING?
- Drives recklessly
- Operates equipment carelessly on or off the job
- Shows poor judgment in dangerous physical activities

PERSONAL HEALTH: Employee’s physical and emotional states that affect work behavior.

Does the employee show any unusual signs of 1. “NERVES” OR EMOTIONAL UPSET?
- Headaches
- Sees things that aren’t there
- Startles easily (hallucinations)
- Cries easily
- False beliefs (delusions)
- Shaky voice
- Bizarre or unusual ideas

Does the employee use 2. ALCOHOL OR DRUGS differently?
- Drinks too much
- Gulps drinks, especially the first one
- Alcohol on breath
- Encourages others to use
- Preoccupied with drinking
- Frequently “on the wagon” or drugs

Has the employee had unusual 3. ILLNESSES?
- Claims for large amounts of dental or medical benefits
- Slow recovery from illness
- Preoccupied with death or suddenly religious
- Ignores own illness

Has the employee’s 4. ENERGY LEVEL changed?
- Yawning
- Fatigue
- Restlessness
- Fidgeting

Are you aware of any changes in 5. DAILY LIVING ROUTINE OR WORK ROUTINE?
- Sleep difficulties
- Changes in after-work hobbies, activities
- Change in amount/pattern of eating
- Rigidly follows same pattern without reason

Have you noticed any changes in the employee’s 6. GENERAL APPEARANCE?
- Appears more poorly groomed
- Walks differently (slower, stumbles)
- Change in posture
- Blushing or paleness
- Red eyes
- Dry mouth (frequent swallowing/lip wetting)
- Dilated pupils
- Puffy face
- Difficulty hearing
Have you noticed any changes in the employee’s
7. BODY
   – Shaky hands
   – Cold sweaty hands
   – Nail biting
   – Twitching
   – Weight loss/gain
   – Sweating, especially nonseasonal

Has the employee had any 8. OTHER changes?
   – Nausea/vomiting
   – Dizziness/fainting
   – Stomach aches/gas
   – Breathing irregularities
   – Frequent trips to the restroom

However, remember ALL employees exhibit some of these behaviors occasionally. It is a pattern of behavioral change over a period of time that you should note and document.
Here are ways that you can use the EAP to assist you in your role as a manager or supervisor.

**Indirect/Friendly Referral**
By actively promoting the EAP and presenting a favorable attitude towards seeking help for concerns, a supervisor can generate self-referrals. Some examples include distributing EAP brochures, including an explanation of the EAP in new employee orientations and mentioning the EAP periodically at associate meetings.

Whenever an employee (or an employee’s family/household member) contacts you and mentions a difficulty in dealing with a personal concern, remind that individual of the availability of the company’s EAP. Also, mention that the services are provided by mental health professionals, and are free and totally confidential. Last but not least, remind the employee that services are available to both company employees and their family/household members. Assist the individual in accessing the EAP services by giving them the phone numbers to call or, if appropriate, help the troubled individual to schedule an appointment.

**Disciplinary Referral**
When meeting with an employee regarding a job-related concern or performance issue, offer the EAP as is appropriate. Avoid getting caught up in any personal concern. Stick to the facts regarding the job-related concern and identify the necessary actions needed to correct the matter as well as the time frame in which the situation will be re-evaluated. If the employee mentions a personal concern, refer the individual to the EAP.

If the employee does not mention a personal concern, remind him/her of the availability of this program by saying:

*Sometimes personal concerns can play a part in job-related concerns. If this is the case, please discuss your concerns with an EAP counselor. It's free, confidential and professional.*

When possible, offer an EAP wallet card to the employee to ensure that the EAP phone numbers are readily available to the employee. Involve your Human Resource specialist for guidance in dealing with difficult situations. In addition, feel free to call an EAP counselor to discuss your approach to a difficult employee situation.

Although EAP is not a refuge from disciplinary action when indicated, it is important for the employee to understand that utilizing the program may help to alleviate a personal concern which in turn may assist in turning around the job performance issue.

In summary, there are two ways to utilize an EAP referral when doing disciplinary actions:

- **Management suggestion/recommendation:** This type of referral is basically making an employee aware of the EAP and suggesting it be tried. This can occur during an early job performance confrontation or when an employee reveals a personal concern to a supervisor or labor representative.

- **Formal referral:** The nature of many personal concerns involves denial and fear. Consequently, individuals are sometimes reluctant to face their concerns by submitting to professional help. As a result, some employees may not follow the “suggestion” or the “recommendation” and job performance may continue to be unsatisfactory. When this occurs, presenting a formal referral may offer the incentive necessary to motivate the employee to enter an assistance process.
How Can EAP Help?

- **Formal referral defined:** An employee in the process of progressive discipline is given the option of EAP involvement or receiving the disciplinary action that is warranted. The disciplinary action (or part of it) is held in abeyance pending compliance with the EAP plan and/or acceptable performance.

**Information Only**
Occasionally, employees and/or supervisors are unsure whether a particular situation is appropriate for an EAP referral. At other times, a manager may question how to approach an EAP referral during an employee review. Sometimes, suggestions are needed for ideas to deal with a personality conflict in a particular work area. These are just a few examples of the types of information that can be provided by the EAP. When in doubt, call.

**The Motivator**
Individuals sometimes need motivation to accept help in dealing with personal concerns. When job performance issues arise out of personal issues, the supervisor has one of the most effective motivational tools known - the desire of an employee to keep his/her job. The key to the successful motivation of such an employee lies in the fair and constructive use of the supervisor’s leadership role.

The employee needs to understand the nature of the job performance concern and the corrective action needed. At this point, the supervisor should strongly encourage the employee to use the EAP suggesting that the EAP may be the tool needed to assist him/her in addressing the workplace issue. Re-evaluation of the job performance concern is critical and the employee needs to understand that unacceptable job performance must turn around or progressive discipline will continue. EAP is not a refuge for poor job performance.

Reassure the employee that EAP utilization will be kept confidential and that acceptance of any recommendations related to treatment will not jeopardize job or promotional opportunities should his/her work issue improve.

**Personal Use**
Use the EAP yourself for personal issues or concerns. The EAP is there for any employee (including supervisors and upper management), as well as their family/household members.
ODIR — A Model for Effective Employee Intervention
(Process may require several months)

**Observe**
- Persistent patterns of declining, marginal or unsatisfactory job performance.
- Changes in physical, emotional or behavioral makeup of the employee.
- Be aware of your own feelings in the situation with the employee in question.

**Document**
- Specific instances of unsatisfactory job performance (absenteeism, spasmodic work patterns, poor efficiency).
- Who, what, when and why.
- Factual information concerning more than one area of job performance decline.
- In writing and with the full knowledge of the employee in question.

**Inform**
- Establish goals for a conference with the employee in question and list the items to be presented in writing.
- Have written, factual, behavioral-based instances measured against standard acceptable job performance standards.
- Be familiar with the employee’s traps and how to avoid them.
- Stress the value of the employee in question to the company and also the seriousness of the current situation.
- Establish clear expectations and guidelines for job performance improvement and determine if the employee in question understands the expectations.
- Designate a non-negotiable, but realistic, time frame for the work performance to improve.
- Explain disciplinary measures which are possible if work performance does not meet expectations.
- Reinforce to the employee that satisfactory job performance is the main criteria for continued employment with the company.

**Refer**
- Recommend that the employee in question seek the services of the company’s EAP.
- Emphasize the confidential nature of the EAP.
- Stress to the employee that the responsibility for dealing with any concern that affects job performance is that of the employee. The company might be able to assist the employee in some fashion, temporarily, in order to aid the individual in meeting treatment/counseling needs. The cold, hard fact is, however, that the concern belongs to the employee.
How to Make a Referral

Appointments can be made by calling (920) 924-0614 or (800) 458-8183 and scheduling an appointment. Management personnel have the option of directing the employee to make his/her own appointment or to schedule one for him/her. Formal referral appointments should be arranged by management.

With formal referrals, management should give the EAP information concerning the employee (by phone call and by completing the Employee Corrective Action Form and the EAP Supervisor Referral Form) prior to the scheduled appointment. Useful information includes the following:

- Exact nature of the performance issue
- How long it has been occurring
- How many occurrences
- Whether it is a distinct change
- Productivity in general
- Cycles/patterns (Monday-Friday)
- Relations with co-workers
- Previous job concerns
- Sick leave use
- Punctuality

Processing EAP formal referrals

The EAP Plan consists of the recommendations made by the EAP. The plan generally provides for further evaluation and treatment as prescribed by the diagnostic staff of a resource agency. EAP Plan compliance requires follow-through with the plan. Feedback to management on formal referrals is generally limited to:

- Whether EAP appointment is kept
- Acceptance/refusal of EAP Plan
- On-going participation or lack of it
- Completion/incompletion of the EAP Plan

The EAP will inform management on an ongoing basis of the employee's involvement. It is also important for management to let the EAP know how things are going on the job because that type of information may be significant in the ongoing treatment process.
Effective Employee Intervention

Documentation — The supervisor’s best tool

As a supervisor faced with a troubled employee, you need to operate under a basic set of assumptions:

• It is your job and your right as a supervisor to set minimum job performance standards for your employees based on company policy.

• An employee has the right to know from the supervisor the minimum job performance standards he/she is expected to meet.

• An employee has the right to know when job performance falls below the established minimum standards at the time it happens.

• Documentation, in writing, is one of the most powerful tools a supervisor has to address job performance decline.

• The documentation process must take into consideration the rights of both the supervisor and the employee.

In addition, “good” documentation aids in putting the supervisor and the company in the best legal position should a workplace issue end up in court.

Documenting completely

How do you document well? You need to document facts that are:

• observable
• verifiable
• objective

Be alert to your own personal biases when you are documenting employee behavior. Describe how the behavior affects the employee’s job performance. Keep any personal vendetta out of your documentation. Be objective, fair and consistent.

Here are some additional tips:

• Avoid counseling the employee.
• Provide objective, factual information that depicts job performance over a period of time.
• Be specific. Don’t use generalized statements.
• Keep all documentation strictly confidential.
• Record incidents as they happen so the details are not forgotten.
• Keep all documentation legible and organized in a logical manner.
• Look for patterns of behavior, not just isolated incidents.
Effective Employee Intervention

You may want to use a log or some type of form to record job performance and attendance data. Try to include the following information in any documentation:

- Date and time
- Who was involved
- What happened
- Where the incident occurred
- Why it happened (if possible to determine)

If you include subjective data (what the employee said), be sure it is clearly indicated as such. Begin these statements with words such as “Employee said” and use quotation marks. Following are examples of good and poor documentation:

**Poor** - (Employee) has been absent a lot.
**Good** - Sept. 6, 2013. (Employee) had been absent 25 days in 2013. This compares to six days in 2012, four days in 2011 and five days in 2010. Supervisor’s Signature

**Poor** - (Employee) had a fight on the job.
**Good** - Oct. 23, 2013. (Employee) used abusive language and physically attacked John Doe in the loading dock area. (Employee) kicked, pushed and punched John Doe with no apparent provocation. Supervisor’s Signature

**Poor** - (Employee) came in late and looked like he/she had a hangover.
**Good** - Nov. 11, 2013. (Employee) came to work 45 minutes late this morning with wrinkled clothes and uncombed hair. He/she had no explanation for the 45-minute tardiness. Supervisor’s Signature

**Poor** - (Employee) has not been getting along well with co-workers.
**Good** - Jan. 21, 2013. (Employee) yelled at Jane Smith, another accounting clerk, on Jan. 20, 2013, at 10 a.m., about a missing report that Jane was not responsible for. He/she slammed the door and left the office for the day after the outburst. Supervisor’s Signature

**Poor** - (Employee) seems unable to get work done on time.
**Good** - May 11, 2013. (Employee) has been more than a week late on three consecutive assignments in the past month. (Employee) has never missed an assignment since starting work for the company. Supervisor’s Signature

**Poor** - (Employee) has conducted himself poorly with customers in June.
**Good** - June 6, 2013. On two separate occasions today, (employee) swore at customers on the phone. Supervisor’s Signature
You have observed an employee's decline in job performance and have documented patterns of dysfunctional behavior that affect your area of the workplace responsibility. What's next? Following are several options to consider before you actually confront the troubled employee head-on regarding disciplinary action:

- Discuss the decline in job performance with the employee as soon as possible before work patterns develop to a severe stage. Stick to the facts because the facts are hard to dispute.
- Discuss the situation with your immediate supervisor, human resource specialist and/or union representative to get some feedback before discussing the situation with the employee.
- Discuss the matter with an EAP counselor to get additional guidance.

In any case, deal with the situation promptly. Remember, one dysfunctional employee can affect five to seven co-workers. In addition, you have the responsibility of making sure a certain job gets done and gets done well. You do not need to diagnose the underlying cause of the concern. Instead, address job deficiencies and methods to improve performance. Use the EAP to avoid becoming the employee's counselor.
The Confrontation

Unless you are a very unusual person, confrontation is not one of your favorite activities. In any case, clearly stating the concern situation and its impact on the workplace, in an honest and direct manner, can be one of the most caring things you do for an employee. In many cases, the troubled employee is very aware of his/her declining work performance, but may not know how to stop the negative course of events.

Make sure the confrontation interview is a private session. In the interview, make sure the employee understands the following major points:

- Corrective action must be taken to improve the employee’s job performance.
- Help is available through the EAP.
- Further action, up to and including termination, will be taken unless work performance improves.

How can you be sure that those major points are understood? Be prepared before you go into the interview by following these steps:

- Establish clear goals for your confrontation with the employee.
- Be specific about the behavior you are referring to when discussing job performance.
- Review your documentation of the problem in advance and have it ready for reference during the interview.
- Be sure you stress measurement against objective job performance standards.
- Stress the employee’s value to the organization.
- Stress the seriousness of the concern situation.
- Point out any positive aspects of the employee’s performance.
- Be firm and clear about what improvement is expected in the employee’s job performance.
- Identify a specific time frame in which job performance is expected to improve and establish to what level.
- Explain the next step that will be taken if improvement is not seen within established time frames.
- Offer the services of the EAP as a tool to assist the employee in correcting the work concern.
- Avoid “traps” that the employee may consciously or unconsciously use during the interview.
- Be consistent in applying your standards of work performance. Don’t expect more of one person than you would of another in a similar situation.
- Be honest, firm and direct.
- Seek a commitment to action from the employee before the end of the confrontation interview.
- Document the course of the interview fully for your files.
Effective Employee Intervention

Avoiding Emotional Traps
Watch out for these emotional defense mechanisms when confronting a troubled employee.

- **Denial** - Employee insists their work performance is fine. “You are picking on me.”
- **Excuses** - Employee has reasons why every incident occurred.
- **Sympathy** - Employee tries to get supervisor involved in his/her personal concern.
- **Diversion** - Employee tries to change the subject.
- **Anger** - Employee has an emotional outburst attacking the supervisor for suggesting that there might be a concern.
- **Innocence** - Employee insists he/she is innocent and that the concern is really someone else’s fault.
- **Apology** - Employee acknowledges that he/she was wrong and vows it won’t happen again.
- **Promises** - Employee promises he/she will do better in the future and assures the supervisor of the truth of the statement.
- **Tears** - Employee breaks down entirely in the interview and can’t be brought back to the subject at hand.
- **Threats** - Employee threatens supervisor if the case is pursued. “I’ll go to the union!” or “I’ll quit!”
- **Prejudice** - Employee insists he/she is being discriminated against.

Remember, in each of these cases, to steer the discussion back to the purpose of the meeting. The employee's job performance has nothing to do with the employee’s feelings described in each of the traps. The employee feels how he/she feels. On the other hand, in order to have an effective confrontation interview, both parties must stay focused on work performance and its impact on the workplace.

After the Confrontation Interview
Once the confrontation interview is complete, monitor the situation as outlined in the interview. Continue documenting incidents of behavior, both good and bad, which would be applicable to the situation. Be fair and consistent in your monitoring of the employee. When the time for re-evaluation arrives, review your documentation. Look over all factors in the situation before you make your decision about the employee’s progress related to the performance decline.

Schedule another interview with the employee. If the job performance and behavior have improved to the point where you no longer perceive a concern, commend the employee. On the other hand, if job performance has not improved or has declined further, follow your company’s disciplinary policy and again refer the employee to the EAP. Remember to communicate with your human resource specialist, union representatives, etc., as appropriate and, of course, document, document, document.
Effective Employee Intervention

How to Confront a Troubled Employee — “A Constructive Corrective Interview”

ESTABLISH the levels of work performance that you expect as a supervisor. Expectations should be made clear from the beginning of employment.

DOCUMENT all declining job performance (and subsequent interviews) for all employees. Be specific.

BE CONSISTENT. Do not tolerate more with one employee than you would with another.

BE FIRM. Deal with reality of the situation. Express a willingness to help and try to gain trust based on concern.

BE HONEST AND FAIR. Don’t hedge. Come straight to the point, stick to the “rules” and use only the documented and job performance FACTS.

BE READY. Be prepared for employee’s resistance, defensiveness, denial and even hostility.

ABOVE ALL, LIMIT THE DISCUSSION TO JOB PERFORMANCE. If it’s documented, the facts speak for themselves.

CONFIDENTIALITY. Stress that if an employee accepts the offer of EAP assistance, that their job security is not threatened and that all information will remain CONFIDENTIAL.

Don’t be an ARMCHAIR DIAGNOSTIC. You are supervisors, not diagnosticians or counselors.

Don’t be JUDGMENTAL. Never moralize, preach, or ask WHY do you do this or that.

Don’t allow the employee to CORNER YOU with apologies, excuses, sob stories, pleas or cons. There is no excuse for prolonged impaired job performance and sentimentality gets the conversation off the subject. Stick to the agenda of job performance. One can’t argue or debate the facts.

Don’t let the employee PLAY YOU against management and/or the union. That’s a dodge intended to make you the culprit.

Don’t make DISCIPLINARY THREATS. Consistently carry out warnings and ultimatums as you define them, otherwise, you will lose credibility. Job performance sticks; threats don’t.

Don’t FEEL GUILTY. You are not responsible for an employee’s work record; they are.

Don’t COVER-UP for a friend. Misguided “kindness” can lead to delay in an individual reaching help before their job is in jeopardy.
Employee Corrective Action Form

Company Name: ___________________________________ Date of Referral: _________________________

Employee Name: ______________________________________________________________________

Department/Location: _________________________ Position: _________________________

Length of employment: With current employer: ___________________ In current position: _________________

Supervisor’s name: ______________________________________________________________________

Phone number: _______________________________ Fax number: ________________________________

II. LEVEL OF DISCIPLINARY ACTION

☐ 1. Verbal warning  ☐ 2. Written Warning  ☐ 3. Suspension from work  ☐ 4. Discharge from employment

Specify: ________________________________________________________________________________

☐ Discharge enforced OR ☐ Suspension enforced OR ☐ Pending EAP involvement ☐ Pending EAP involvement

Comment: ______________________________________________________________________________

Past disciplinary action(s) taken against employee: ____________________________________________________________________________________
Employee Corrective Action Form (Continued)

III. EXPECTED CORRECTIVE OUTCOME AND TIME LINE
(Specific improvements required in terms of job performance and/or behavior): __________________________________________________________________________
____________________________________________________________________________________
____________________________________________________________________________________
____________________________________________________________________________________
____________________________________________________________________________________
If the job concerns continue, the next disciplinary action will be: ______________________________________
____________________________________________________________________________________
Follow-up date(s) to meet and discuss performance: ______________________________________

IV. EMPLOYEE’S RESPONSE
Your signature below shows that you understand what has been discussed regarding your work performance or on-the-job behavior. If you disagree with, or otherwise want to comment on what has been discussed or documented, please write your response below or on a separate attachment. This report, along with any written response provided by you will be submitted into your personnel record.

Signature: _______________________________________________ Date:_________________
Witness (optional): ____________________________________ Date: _________________

☐ Employee declined opportunity to sign this form or to provide written comment.

Initials: ___________ Date: _________________
EAP SUPERVISOR REFERRAL FORM FOR __________________________________________________________

(Employee Name)

V. TERMS OF REFERRAL TO EAP

- Informal Referral - The employee is encouraged to contact EAP for advice in identifying strategies in resolving the stated job performance concerns.

- Formal Referral - The employee is required to be seen by EAP by (date) ___________ and comply with the recommendations or face further discipline. The employee is expected to satisfy the on the job improvements that have been identified and their involvement with EAP does not protect the employee from disciplinary action. Your employer will receive feedback as to whether you are continuing/discontinuing with appointments and status of compliance with the counselor’s recommendations.

SUPERVISOR’S STATEMENT OF INTENT.

As a management representative, I understand the purpose of the employee’s referral to the EAP is to allow the employee the opportunity to seek out objective, professional assistance towards resolving the job performance concerns I have documented.

I endorse the employee’s use of the EAP and will support the employee’s ongoing involvement in counseling or treatment if recommended by the EAP. I will continue to provide direct, objective, and timely feedback to the employee as to his/her job performance.

Supervisor’s Signature: __________________________ Job Title: ______________________ Date: ___________

Executive Signature (optional) ______________________ Job Title: ______________________ Date: ___________

EMPLOYEE ACCEPTANCE OF EAP REFERRAL

I acknowledge and accept the terms of this Employee Assistance Program referral.

Employee Signature: __________________________________________________________ Date: ___________

- Employee declined offer or referral to EAP

Employee signature on the form, Disclosure of Health Information is necessary for Agnesian Work & Wellness EAP to share the following information. The Authorization for Disclosure of Health Information is usually filled out during the first meeting with the counselor. Without this form completed, Agnesian Work & Wellness cannot share whether the employee has made an appointment at EAP. The following information can be shared once the employee has signed the release:
  - Date that the employee contacted the EAP 1)
  - Participation or non-participation in the recommended plan of action 2)
  - Continuation or discontinuation in recommended plan of action 3)

Fax this form to the Agnesian Work & Wellness EAP (920-924-0615) or send to: 56 Camelot Drive, Fond du Lac, WI 54935.

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