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ADMINISTRATIVE REFERRAL GUIDE

The Administrative Referral Guide

The Administrative Referral was created to retain valuable human assets that may be lost without an intervention through the Employee Assistance Program. EAP works collaboratively with Human Resources to provide a constructive, humanistic plan for addressing policy violations and observable, documentable job performance problems of a continuing and repeated nature. The process is intended for employees that you wish to retain and is usually overseen by the Human Resources Department. It is typically part of a progressive discipline process.

When to Make the Referral

The following is a list of typical job performance issues for an Administrative Referral:

- ✓ A pattern of Absenteeism/Tardiness
- ✓ On-going poor Work Quality/Quantity
- ✓ Interaction style including a pattern of anger, aggression, harassment, and inappropriate communication
- ✓ DOT policy violations
- ✓ Drug and Alcohol policy violations

Note: Suggested referrals are intended for ongoing issues that are not policy violations and should be used along with counseling from Supervisor/HR

The following is a list of typical issues appropriate for a Suggested Referral:

- ✓ Personal grief
- ✓ Concerns outside of the workplace
- ✓ Concerns with employee's well-being

How to Make an Administrative Referral

1. Document the policy violation or ongoing job performance issue & the steps taken to resolve the Issue.

After observing instances of deteriorating performance, it is essential to carefully document these behaviors in precise, descriptive terms.

Example 1: Reasonable suspicion leads to identification of a substance abuse policy violation:

1. April 18th – Employee was 55 minutes late for first shift duty
2. April 18th – Smell of alcohol on breath was noted by production manager and foreman
3. April 18th – Employee was tested per company policy
4. April 18th – Transportation was arranged for employee to go home due to safety concerns

This example embodies objective observations rather than subjective impressions or value judgments shown below which are contestable:

- ✔ April 18th - Employee was an hour late and came in drunk.

Example 2: Ongoing job performance issue:

1. April 18th – Employee was counseled regarding watching videos on company computers during work hours
2. April 27th – Employee was counseled 2nd time for continuing to watch videos on company computers during work hours

This example embodies objective observations rather than subjective impressions or value judgments shown below which are contestable:

- ✔ April 18th – Supervisor told employee to stop watching videos all the time.

2. Consult with EAP - 800.252.4555

- ✔ Review your organization's policies and procedures with EAP
- ✔ Speak with an SPHR or Senior EAP Counselor about the issue and the steps you have taken to address it
- ✔ The EAP Counselor will review the options available and formalize a plan:
 - Suggested Referral
 - Coaching
 - Face to Face Counseling
 - Training

3. Meet with the Employee

Offering the Employee Assistance Program to an employee with a poor work record is a positive response to a negative situation.

Remember, you cannot force an employee to use the Employee Assistance Program and the employee should not be disciplined for refusing to participate. If the employee refuses the assistance offered through the Administrative Referral process, they should be held accountable for their performance/ behavior/policy violation per your organizational policy.

The following steps are recommended for the formal interview:

Do

- ✓ Be transparent with the employee about the reason they are being referred to EAP. Use straightforward language and stick to documented facts and observations that the employee cannot refute.
- ✓ Hold all phone calls and other interruptions during the interview.
- ✓ Maintain control of the conversation and emotional composure.
- ✓ Show your concern. A good rule of thumb is to "document hard" and "confront softly."
- ✓ Offer the employee the opportunity to participate in the Administrative Referral.
- ✓ Confirm their understanding they must take the first step by reaching out to EAP.
- ✓ Commend the employee for his/her decision to participate in this process designed to correct the issues and express that they are a valued employee.
- ✓ Ask the employee to sign the Administrative Referral Form and the Release of Information form so that you may verify his/her participation in the Employee Assistance Program.
- ✓ If the employee agrees to use the Employee Assistance Program, provide a timeframe for them to call in. The EAP is available for employees to call in 24/7 at 800-252-4555.

Don't

- ✓ Get involved with the employee's personal life or details of their personal problems
- ✓ Internalize the discussion with your employee
- ✓ Diagnose your employee's personal problems
- ✓ Apologize

Checklist

- ✓ Documented workplace performance issues and/or policy violations
- ✓ Call EAP for Supervisory Consult
- ✓ Complete the information sheet
- ✓ Meet with employee who signs Information Form and Release of Information
- ✓ Require employee to call EAP within --- Days
- ✓ Fax forms to 585-593-9058

Referring Impaired Employees

Besides the deterioration of job performance by an employee, another issue requiring intervention occurs when an employee appears to be under the influence of alcohol or drugs while at work. In this situation, appropriate action must be taken immediately.

The following observed behaviors may indicate impairment:

- ✓ Employee appears confused or disoriented
- ✓ Employee exhibits slurred speech
- ✓ Employee has difficulty walking or navigating in a normal way
- ✓ Employee appears combative or has difficulty interacting with co-workers
- ✓ Employee appears agitated or drowsy

Most organizations have written guidelines to follow when dealing with a possible intoxicated employee. Check your policy to see if it has been formulated.

Whereas employers may differ in the approach to this problem, several basic steps are generally agreed upon.

1. Ask another supervisor to observe the employee and confirm your judgment.
2. Take the employee off the job immediately.
3. Document the incident, including date, time, observed behaviors and names of corroborating witnesses.
4. Give the employee the opportunity to explain his/her behavior in a private setting. Do not ask about drug or alcohol use at this time. The employee's impairment may be the result of a medical condition (diabetes, brain tumor, migraine headache), and your aggressive questioning could be construed as harassing behavior.
5. If, after the explanation, you still believe the employee is unfit to perform his/her job, request that the employee accompany you to the dispensary or other medical facility for examination. Some organizations may ask for a drug screen if the employee consents.
6. If the employee refuses to answer questions or go to a medical facility, inform the employee that refusal to cooperate may be grounds for disciplinary action. Do not attempt to restrain the employee or use physical force.
7. If the employee becomes unruly or unmanageable, call law enforcement officers to intervene.
8. Arrange for transportation home. If he/she insists on driving, do not attempt restraint; rather contact law enforcement officers.
9. When the employee is sober, conduct a formal interview and initiate Administrative Referral.

For additional assistance call **1-800-252-4555**. Our case managers are available to assist you in addressing difficult employee situations.