



Supervisory Resource Guide





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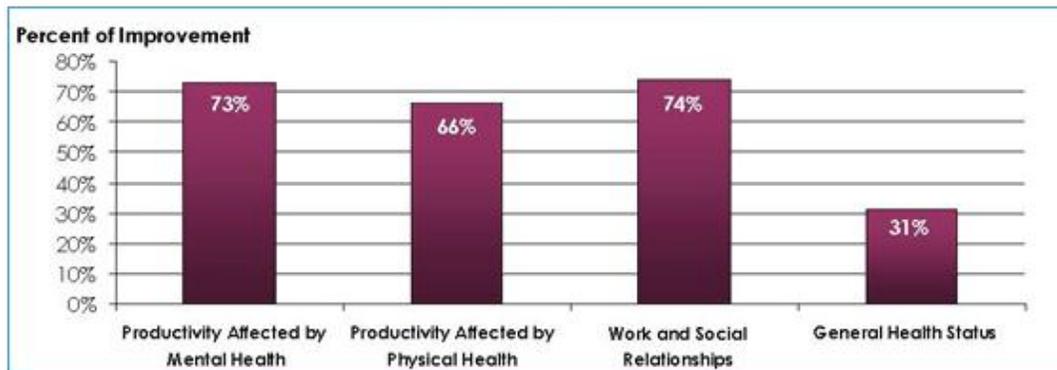
Introduction to Employee Assistant Program (EAP)

Your employer has contracted with NuVantage Employee Resource to provide an Employee Assistance Program (EAP) to help create and maintain a healthy and productive work environment.

NuVantage EAP is a free and confidential service designed to help employees, managers and their families:

- Improve** personal and workplace relationships
- Manage** work-related issues
- Resolve** financial and legal concerns
- Achieve** work/life balance

Employee Assistance Programs (EAPs) have been shown to reduce sick leave, work-related accidents, workers' compensation claims and employee grievances – as well as improve productivity and job satisfaction.



Three year study conducted by the U.S. Department of Health and Human Services (2007).



Role of Managers in Promoting Workplace Wellness

The success of the EAP in providing services to enhance workplace wellness is only achieved when employees and managers take advantage of the resources available to them.

You, as a manager or supervisor, are in a unique position to articulate and promote the benefits of using the EAP services that employees have as part of your company. NuVantage works collaboratively with supervisors and managers to encourage utilization of the employee assistance program.

NuVantage encourages early intervention, prevention of workplace issues, and workplace wellness by providing:

- Manager and supervisor consultations
- Case management and supervisory referrals for chronic performance problems, safety violations, and non-compliance with drug and alcohol policy standards.
- Onsite presentations and training for employees and managers
- Personal attention and in-person appointments with mental health, financial counseling and legal professionals
- Support for your organizations drug and alcohol policies and progressive discipline procedures
- Critical Incident Response (CIR) services

NuVantage EAP Training and Orientation Sessions

NuVantage Employee Resource provides onsite orientation sessions as part of our contractual arrangement. If you would like to arrange an EAP orientation session for your employees, contact your organization's EAP program administrator or contact your NuVantage EAP representative at 1.888.988.0098 or nuvantage@lssmn.org.

NuVantage EAP Promotional Materials

NuVantage Employee Resource provides a variety of materials to help managers, supervisors and human resources promote their Employee Assistance Program so employees are aware of the valuable services available to them.

Every employee should receive a NuVantage EAP information card in their new hire packet. Additional promotional items are available, including quarterly newsletters, workplace posters, brochures, magnets, pens, payroll inserts and more.

To order promotional materials, call 1.888.988.0098



Support for Managers

Management Consultations

Managers face daily concerns and challenges of employee job performance, attitude, employee conflicts, and other issues that influence the effectiveness of the organization. Often, a manager can benefit by discussing their workplace concerns with someone that is objective and has a background in interpersonal dynamics.

Management consultations are designed to assist managers and supervisors in identifying issues and creating a plan to effectively manage workplace issues or conflicts.

Managers and supervisors may speak with a management consultant regarding:

- Employee work performance issues
- Harassment problems
- Power struggles amongst staff
- Stress and burnout
- Workplace conflicts
- Chemical use indicators

All contacts to NuVantage Employee Resource are confidential, including calls from managers, supervisors and human resource professionals. For your confidential consultation, call 800.577.4727.

Critical Incident Support

A critical incident is an event that occurs in a work setting that has the potential of causing emotional trauma to those involved. Critical incidents can include industrial accidents, natural disasters, natural death (on or off site), and workplace violence which have the potential to produce immediate or delayed emotional reactions beyond the employee's normal coping skills.

Our services include:

- Small group debriefings
- Large group support and informational sessions
- Professional counseling for Individual support
- Pre-incident planning
- Follow-up services

It is important to respond quickly to the needs of individuals who have been affected by a job-related critical incident. Critical Incident Response helps organizations prepare for and respond to these situations.



Informal Supervisory Referral

Your employees may let you know they are having problems in their personal life through normal daily interactions or they may make reference to personal problems when confronted about a work performance issue. It is not uncommon for an employee's mood and work performance to be affected when they are struggling with issues in their personal lives, and employees are often aware when their personal problems begin to impact their work performance.

As a manager, it is important to let your employees know you care about them and their situation, while also holding them accountable for fulfilling their work responsibilities.

NuVantage EAP is a resource and management tool available to you. As soon as you learn that an employee is having an issues in their personal life, even before it impacts their work performance, encourage him or her to take advantage of their NuVantage EAP benefit.

Free and confidential professional assistance is available to help with a variety of issues, including:

- Relationship issues, such as marital problems, parenting issues, conflicts with co-workers, and more.
- Personal issues, such as depression, anxiety, goal-setting and more.
- Financial counseling, such as budgeting assistance, debt management, foreclosure prevention and more.
- Legal consultations
- Elder care assistance such as determining appropriate community resources or placement options for parents.

Early intervention is important. If an employee told you he had a toothache, you would encourage him to visit the dentist. If you learn that an employee is having personal issues, encourage him or her to contact NuVantage.

NuVantage provides wallet cards and brochures to support this type of referral. Encouraging employees to contact the professionals at NuVantage Employee Resource relieves you from the counseling role and allows you to remain focused on managing their work-related performance. Ask NuVantage for a stack of cards to keep available for making these types of referrals.

Formal Supervisory Referral

At times, managers or supervisors may notice a significant decline in someone's work performance or may need a plan of action when an employee violates a company policy.

When an employee's productivity decreases significantly, negative behaviors at work impact trust amongst a work team, or an employee tests positive for drugs or violates a company policy you may want to include



EAP usage as part of their improved performance workplan. NuVantage can help your employees address work-related or personal problems that cause them to be distracted and less productive at work.

A formal referral to NuVantage can be a valuable tool, especially when an employee has demonstrated good workplace behaviors in the past. Referring your employee to a professional allows you, as a supervisor, to remain focused on your role of managing people and processes, while offering an employee the opportunity to receive the help or treatment they need. **In this case, however, a case manager will verify their use of the EAP if they have signed the appropriate consent for release of information form.**

Making a Supervisory Referral

If you think a formal referral may be appropriate, please contact NuVantage. A NuVantage consultant or case manager will:

- Address any questions or concerns you have about the formal supervisory referral process.
- Facilitate the completion of supervisory referral forms in a way that will assist the EAP Counselor in addressing the behavior that precipitated the referral.
- Update the referring supervisor or Human Resource Manager regarding completion of EAP assessment and follow through with any recommendations.
- Provide a summary report regarding the extent to which the employee has complied with the EAP assessment and any other resources to which they were referred.

Formal Referral Process

When a formal referral is made to the EAP, certain steps must be followed to allow for effective communication between your organization's contact (typically the employee's supervisor and/or a human resources specialist) and NuVantage Employee Resource.

To initiate a formal referral for evaluation and/or treatment, please complete the following steps:

- Consult with NuVantage regarding the situation by calling 1-800-577-4727.
- Complete the NuVantage Supervisory Referral Form and the Consent for Release of Information Form.
- Review the forms with the employee and have them sign both forms.
- Submit the Referral Form and the Consent for Release of information to NuVantage Employee Resource via fax or mail:

FAX: 218-302-6825

Mail: NuVantage Employee Resource, 424 West Superior Street; Suite 600, Duluth, MN 55802

Email: NuVantage@lssm.org

Please submit these forms to NuVantage prior to the employee calling so we are appropriately prepared to serve the employee.

- Instruct employee to contact NuVantage at 1-800-577-4727 to schedule an appointment (identifying that they have been referred by the organization).

A NuVantage Case Manager will follow-up with you regarding the status of the Supervisory Referral.



Follow-up

The employee is required to sign a release of information which allows NuVantage to report on their attendance and compliance with the referral stipulations and/or the treatment provider's recommendations.

Only information that is relevant to the specific supervisory referral and the employee's job performance will be shared with the employer. Although an employee is asked to sign a release of information, the EAP counselor will still maintain the level of client confidentiality mandated by law.



EAP Services for Employees and their Family Members

Through NuVantage, employees and their family members will receive personal attention and have access to short-term, solution-focused counseling, crisis intervention counseling, community resource information, and if necessary, referrals to other services.

Free and confidential in-person or phone appointments with mental health, financial counseling, elder care consultants, and legal professionals are available to provide assistance with both personal and work-related issues:

- Stress, anxiety, depression or other emotional problems
- Family, marital, and other relationship problems
- Child/adolescent and parenting problems
- Chemical dependency
- Issues related to loss, grief, and life stages
- Financial problems related to debt and budgeting
- Legal concerns
- Elder care struggles
- Work-related issues

1.800.577.4727

Call us. We're here to help. Day or night.

Employees can call the toll free number at any time to schedule an appointment. Employees are scheduled to meet with a professional, licensed service provider best suited to assist with their concerns such as a mental health counselor, financial counselor, or an attorney.

Employees who have an emergency situation can call any time - day or night, including weekends and holidays. The employee will be given the opportunity to talk with a counselor immediately by phone, or the opportunity to meet with a counselor that same day.



NuVantage EAP's Commitment to Confidentiality

An employee's participation in the EAP is strictly voluntary and confidential.

Managers, employees and their family members have a right to expect absolute privacy and confidentiality in therapy. Without your explicit consent, licensed therapists are prevented by law from discussing information you share during your sessions with anyone else. Knowing and trusting that anything you say will be safely contained in the therapeutic space is essential to meaningful therapy.

Standard EAP Reporting

Information about an employee or manager's participation in the EAP is not shared with anyone. Your organization only receives summary reports with information regarding the number of people who have accessed the EAP, demographic characteristics and the general nature of the inquiries – *no identifying information is released.*

Formal Referral Reporting

If the employee signs the release of information form, NuVantage will only report on the employee's attendance and whether the referred employee complied with the referral stipulations and/or the treatment provider's recommendations. Although an employee is asked to sign a release of information, NuVantage will maintain the level of confidentiality that is mandated by law.

Only information relevant to the specific requirements of the supervisory referral and the employee's job performance will be shared with the employer. No information about topics discussed or personal information the employee shares with the counselor will be provided to the manager or employer.

Privileged Communications Exceptions Mandated by Law

While NuVantage staff and any associated therapists are bound by both law and ethics to protect client confidentiality, they are required to disclose information if there is a clear and present danger to the health or safety of an individual or if otherwise required by law (in accordance with Minnesota Statute 148B.39.)



Formal Supervisory Referral Form

_____ Employee Name	_____ Title	_____ Department	_____ Date of Birth
_____ Referred by	_____ Title	_____ Phone.	_____ Date

REASONS FOR REFERRAL

- Tested positive for drugs or alcohol
- Attendance problems (explain) _____
- Unacceptable conduct (List disciplinary actions within the past year)

JOB PERFORMANCE (Explain in Detail)

- | | | |
|------------------------------|-----------------------|-----------------------------|
| ____ Low Quality of Work | ____ Missed Deadlines | ____ Excessive Errors |
| ____ Erratic Work Patterns | ____ Poor Judgment | ____ Decreased Productivity |
| ____ Lack of Concentration | _____ | |
| ____ Other (please describe) | _____ | |

BEHAVIOR ON THE JOB

- | | |
|--------------------------------------|----------------------------------|
| ___ Avoids Supervisor/Co-Workers | ___ Unusually Critical of Others |
| ___ Disregards Safety | ___ Does Not Communicate |
| ___ Lacks Interest/Enthusiasm | ___ Frequent Mood Changes |
| ___ Unusually Sensitive to Criticism | ___ Grooming/Appearance Problems |
| Other (please describe) _____ | _____ |

CONDITIONS FOR CONTINUED EMPLOYMENT

Are there conditions for continued employment? yes no
 If yes, describe these conditions (what behavior must be observed, or what actions must take place?):

Is disciplinary action likely? yes no
 Is the safety of this employee or other employees a concern? yes no
 If yes, please describe the concern _____

Has the above information been discussed with employee. Yes (date: _____) No

Employee's Signature _____

Employee's Supervisor's Signature _____

Please attach any additional documentation that may help NuVantage better assist the employee.



Employee Consent for the Release of Information

I, _____, hereby authorize NuVantage Employee Resource
(Name of employee)
to disclose certain portions of my Protected Health Information to my supervisor/employer contact.

Employer Contact Name: _____

Address: _____

Telephone: _____ email: _____

Information to be disclosed to the employer is limited to the following:

- Status of initial contact and scheduling with EAP counselor
- Summary of attendance at scheduled EAP sessions
- Summary of assessment information specifically related to job performance
- Follow through with recommendation(s)/referral(s) specifically related to job performance
- Other (provide details): _____

I understand the reason for disclosing the information listed above is to let my employer/contact know whether I have complied with the terms of my supervisory/formal referral to NuVantage Employee Resource.

I understand that I may revoke my consent at any time, except to the extent that action will have been taken on information released prior to the revocation. I understand that my records are protected under State and Federal confidentiality regulations. I understand that information at NuVantage Employee Resource is limited to staff whose work assignments reasonably require access to my data within the purpose specified in the services provided.

I recognize the information used or disclosed pursuant to this authorization may be subject to re-disclosure by the recipient and may no longer be protected. NuVantage Employee Resource is not responsible for such disclosures should they occur.

If not previously revoked, this authorization will terminate:

- One year from date of signature
- On the following date: _____

Signature of employee

Date

Signature of supervisor or employer contact

Date



Memorandum

DATE: _____

TO: _____

FROM: _____

RE: _____

CC: _____

Based on our recent conversation related to your work performance issues, you are being referred to NuVantage Employee Resource, our organization's Employee Assistance Program (EAP). You have until _____ to contact NuVantage EAP and set up an appointment for an assessment.

To schedule your EAP appointment call 1-800-577-4727.

Once the assessment period is complete, the counselor will contact your EAP case manager to discuss the outcome of the assessment which may include recommendations for additional services. Once we receive the information stated in the signed Release of Information we will determine whether working with the additional services will also be a condition of your employment.

Compliance with the EAP is not a guarantee of employment. It is one piece of your total performance improvement plan that you have established with your supervisor and/or human resources.

NuVantage Employee Resource is a confidential service. Only the information noted in your signed Release of Information will be shared with your company contact. All other information is confidential pursuant to state and federal confidentiality guidelines.