

Formal Supervisory Referrals

A formal referral means you as a supervisor are requesting that an employee see an EAP counselor in an effort to assist the employee in resolving any personal problems that may be affecting his/her job performance.

This is a voluntary (not mandatory) request, though you may strongly suggest it.

If the employee refuses to go, you should note in the employee's file the offer was made and turned down.

PROTOCOL

- 1) Before referring the employee, call **DOR** and indicate that you would like to make a formal referral. You will be connected with an EAP counselor who will explore the nature of the problem with questions such as:
 - What specific behaviors are you observing that are unacceptable?
 - What impact is this employee having on others - specifically?
 - What feedback has been given?
 - What disciplinary action has been taken?
 - How has the employee responded to these measures?
 - What are the next steps?
- 2) You will then be asked to fill out the Supervisor's Evaluation Form. The counselor will fax it to you and have you fax it back to **DOR**. The purpose for filling out this form is to make sure that the employee, the counselor and the supervisor are all clear as to what are:
 - the performance concerns;
 - the specific expectations for improvement;
 - the consequences if job performance does not change.
- 3) After the consult and sending the Supervisor's Evaluation Form back to **DOR**, you meet with the employee to clarify the specific concerns and expectations for improvement, and state any consequences that may occur. You then refer the employee to **DOR**, explaining that you had a conversation with **DOR** to inform us of the concerns. You can also let the employee know that we will ask him/her to sign a release of information that allows us to report to you that he/she came in for the appointment. If you think it will be helpful for clarification, you can give a copy of the evaluation form to the employee.
- 4) The employee calls us to set up an appointment, comes in and the counselor asks him/her to sign the release form. The employee signs a release of information form allowing the counselor to confirm the attendance.

NO INFORMATION can be released regarding anything disclosed in the session unless the employee specifically releases other information.
- 5) If the employee comes in and signs the release, the **DOR** counselor calls the contact person specified on the evaluation form to confirm attendance.
- 6) If the employee does not come in or does not sign the release, the counselor is not able to release any information to the referring supervisor. The supervisor can note this in the employee's file.
- 7) **DOR** continues to do follow-up with the employee.

Some final notes:

The Formal Referral is NOT MANDATORY and CANNOT be used as a term of employment. The terms of employment are mandated by the employee's JOB PERFORMANCE and the specific requested improvement of any performance concerns.

Often times the counselor will offer to have an in-person consult with the supervisor. This is to give the supervisor one more resource and opportunity to deal with challenging situations.

DOR	Employee Assistance Program	1660 South Hwy 100 Suite 430 Minneapolis, MN 55416	612-332-4805 800-367-3271	Fax: 612-342-2422 www.doreap.com doreap@doreap.com
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Supervisor's Evaluation Form

(Please complete and return to the EAP counselor before the appointment)
(612) 332-4805 * 1-800-367-3271 * Fax: (612) 342-2422

DATE: _____

COMPANY/ORGANIZATION: _____

EMPLOYEE'S NAME: _____ JOB TITLE: _____

HR/SUPERVISOR'S NAME (To whom the info. will be released): _____

HR/SUPERVISOR'S PHONE NUMBER: () _____ FAX: () _____

EMPLOYEE MUST CALL IN BY: _____ (If a counselor has not confirmed employee's attendance, this indicates one of two things: 1) Employee did not attend or 2) Employee did not sign release of information.)

1. How would you rate the employee's overall job performance:

- | | |
|--|---|
| <input type="checkbox"/> outstanding | <input type="checkbox"/> below average |
| <input type="checkbox"/> above average | <input type="checkbox"/> unsatisfactory |
| <input type="checkbox"/> adequate | |

2. This employee's work has been unsatisfactory in the following areas:

- | | | |
|---|--|--------------------------------|
| <input type="checkbox"/> attendance | <input type="checkbox"/> mood swings | <input type="checkbox"/> other |
| <input type="checkbox"/> tardiness | <input type="checkbox"/> irritability | |
| <input type="checkbox"/> sick leaves | <input type="checkbox"/> safety violations | |
| <input type="checkbox"/> mistakes, carelessness | <input type="checkbox"/> reduced quantity | |
| <input type="checkbox"/> forgetful | <input type="checkbox"/> reduced quality | |
| <input type="checkbox"/> inconsistent judgment | <input type="checkbox"/> deadlines missed | |

3. Specific job performance you want addressed:

4. Have you suggested using the EAP to this employee in the past?

Yes No If yes: Date: _____ Reason: _____

5. Action taken to date concerning this employee's performance (written documentation including warnings, dates, issues and reasons).

6. Specific documented expectations for improvement, date for review, and deadline for expected change.

7. Consequences if job performance does not change:

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SUPERVISORY REFERRAL PROCESS

