



UT Employee Assistance Program
Leadership Manual

This manual and supporting documents
are also available online at www.uteap.org
800 346-3549

The UTEAP Leadership Manual is to be utilized as a training aide and reference in the UTEAP Leadership Training Class. The Manual also provides a brief review of UTEAP services available to employees, supervisors and managers.

While every effort has been made to ensure that the content is correct, UTEAP makes no warranties in relation to accuracy or completeness of the information. This Leadership Manual is not meant as professional legal advice. Always review with your Human Resource and/or Legal Department any action you intend to take with an employee to ensure you are following your organization's policies and procedures. In addition, your Human Resource Department **MUST** be involved in any Mandatory Referral made to UTEAP.

In no event will UTEAP be liable for any incidental or consequential damages resulting from the use of the information in this document.

UTEAP
Employee Assistance Program

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Introduction

In today's ever changing world, individuals and their families are dealing with a multitude of problems. Alcohol and other drug abuse, marital problems, parenting concerns, financial worries, stress, anxiety and depression are just a few of the more common concerns facing today's employees. Any of these common concerns can have a drastic effect on an employee's quality of life and job performance. When work performance is influenced, the EAP is a resource that you, the supervisor, can use as a tool to modify negative and reinforce positive behavior.

The UTEAP Leadership Manual will assist you in identifying problem behaviors and observing and documenting work performance concerns, aid in developing strategies on approaching and meeting with your employees, provide tools for setting expectations for change, procedures for making mandatory referrals to the EAP and support in applying your organization's policies and procedures.

Understanding EAP Services

For the EAP to be successful, supervisors, as leaders within your organization, must understand how our services work. You will be recommending the EAP to those you lead when they come to you with personal problems, or you may realize that an employee is having difficulty and wish to informally refer them to our services. Your knowledge of the EAP is essential in assisting those you lead and in helping your employees find solutions to their problems.

Cost & Access

UTEAP services are provided without cost to all employees and their immediate family members. The program is confidential, easy to use and provides employees an opportunity to resolve their personal problems before work performance is influenced. Employees have 24/7 toll-free access, and a licensed counselor is always available to talk with an employee in a crisis situation. Our convenient network of licensed counselors will offer employees individual counseling sessions and develop solution-focused treatment plans that address their concerns. Over 70% of those utilizing the UTEAP service find resolution to their problems during the EAP Assessment. In the event that the issue cannot be resolved under the available EAP sessions, a referral under the employee's Health Benefit Plan can usually be arranged. If the condition is not covered, we will help employees find affordable services to best match their circumstances and ability to pay.

Confidentiality

Confidentiality is a key concern for many individuals. Some employees may be concerned that voluntary use of the EAP could jeopardize their job security or promotion opportunities; others simply want to keep their personal problems separate from their work environment. UTEAP works to constantly reassure all individuals accessing the EAP that all calls and visits to the EAP are confidential. Without the employee's signed consent – specifying what information is to be shared and with whom – no information will be released by the EAP. The only exceptions are child and elder abuse, threat of harm to oneself or others or court order.

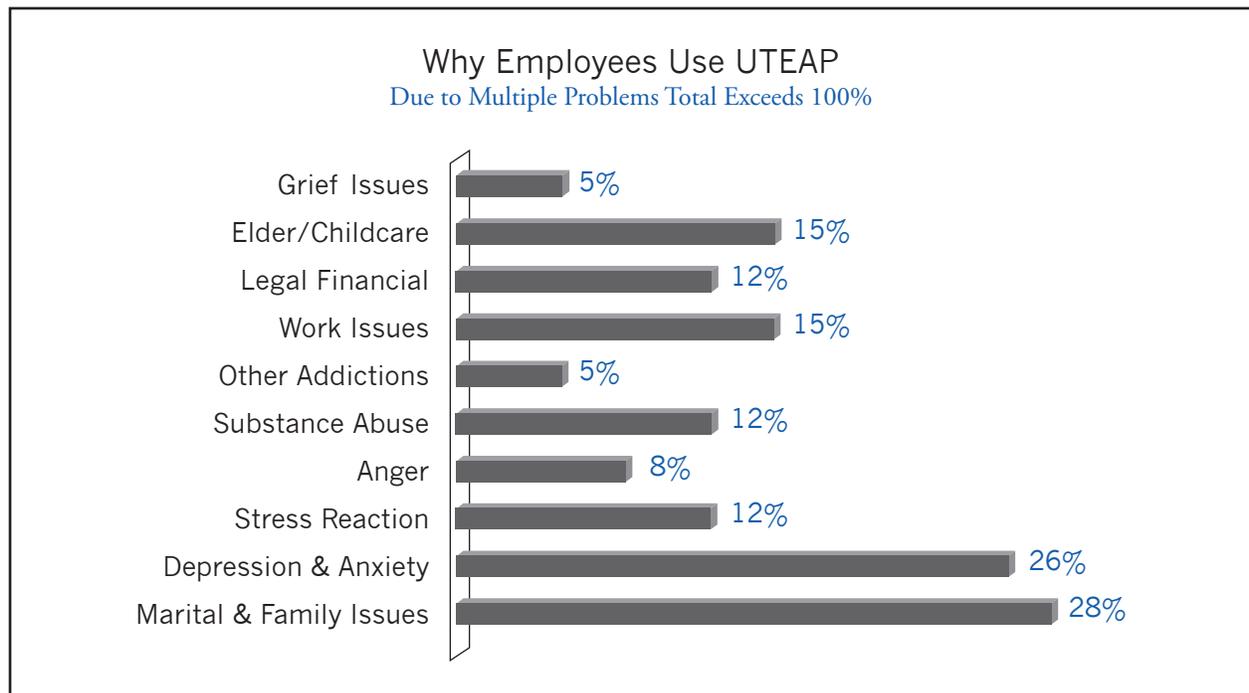
Eligibility

All benefits-eligible employees have access to the EAP services. In addition, services are also available for the employee's spouse and any eligible dependents living in the household.

The Goal of UTEAP

The goal of the EAP is to assist employees and their family members in identifying their presenting problem, and resolve that problem when possible. Should ongoing care be needed, a treatment plan is developed and that plan is implemented within the community for ongoing care.

Why People Use Our Services



What We Provide

Program Promotion: Posters, Pamphlets, Promotional E-mail, and Newsletters are available to keep the EAP visible to employee families.

Assessment and Referral: The EAP provides clinical services through an experienced National Network of Licensed Mental Health Professionals. These providers are skilled in addressing a wide range of mental health or chemical dependency concerns. The counselor will work with the client employee to determine the nature of concern and help resolve the issue within the EAP sessions available through the program. The counselor will also make recommendations for further treatment if the issue cannot be resolved within the available sessions.

Legal/Financial Consultation and Resources: Individuals can schedule a free consultation with an attorney or financial planner. There are also many online resources available that employees may use and review with their attorney or financial planner.

Identity Theft Resources: Individuals that have become a victim of identity theft can consult with an identity theft professional who will assess the situation, create an action plan, and provide consultation on implementing the plan.

Elder Care & Child Care Resources And Referrals: Consultation is available to assist in locating resources such as child care, elder care, adoption, education and many other areas of daily living.

Leadership Support: Our team is there to assist leadership through consultation and referral assistance when problems arise in the workplace. A simple phone call to discuss what you have observed and a short discussion about how to approach the employee or situation may save you hours of work and frustration. This Leadership Manual will outline our consultation service and EAP referral services in detail.

Online Services: UTEAP provides a wide range of education and training programs, WorkLife services, supervisor tools, appointment scheduling, screening tests and other services to meet the needs of your technology savvy employee families.



Helping Your Employees

The Supervisor Role:

As a supervisor, addressing work performance issues can be one of the most stressful aspects of your job. Although approaching an employee to address work performance issues is never easy, the EAP can provide valuable support, one-on-one consultation and tools to assist with this difficult and sometimes confusing process.

Observing Work Performance Problems

Do any of these problems sound familiar to you?

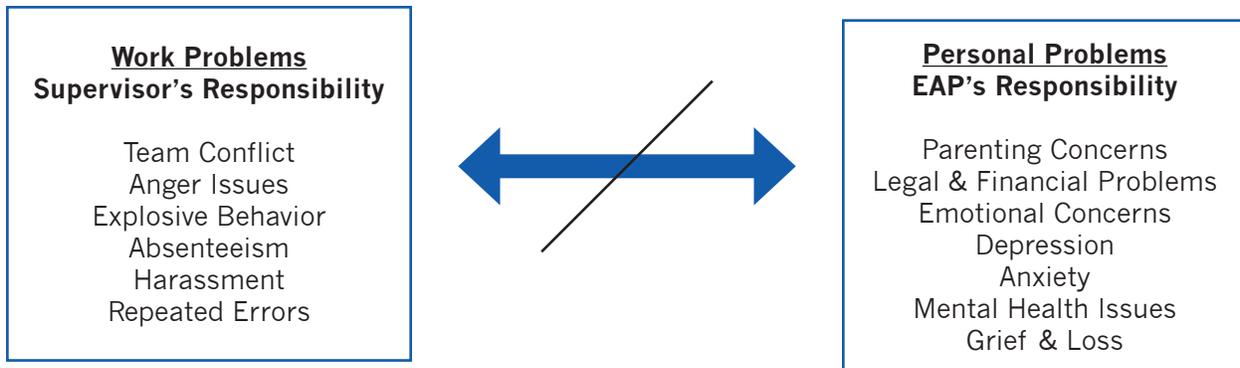
- When you walked into the office this morning, you were informed that three members of your office staff are “no longer speaking to each other.”
- Sally has been a loyal employee in your department for the last five years, but for the last three months, she has been late nearly every morning.
- Even though Ray told you yesterday that he had finished the reports, you notice today that they are still not ready. This is the third time you have noticed Ray has lied to you.
- Michael, an employee with whom you have a strong personal bond, comes into your office to tell you that he has been cited for a DUI in a company-owned vehicle. However, he insists that “it was not during work hours,” that he’s “not a problem drinker,” and that “it won’t happen again.”
- Jane is an employee with high aspirations who repeatedly volunteers to take on new projects. However, she is consistently unable to meet established deadlines for her existing assignments and tasks you thought were finished are left undone.

The role of a supervisor is to observe performance issues and to provide feedback to employees on their performance. This requires an awareness of declining or undesirable changes in your employee’s daily work performance. Defining your expectations for the performance of essential duties, functions, and behavior for your employees is your responsibility. The company’s expectations and policies normally include measurable goals for quality of work, attendance and tardiness, personal conduct, appearance, attitude and demeanor, and the consistent performance of duties on a daily basis.

Separating Performance & Personal Problems

It is challenging to separate an employee's work performance problems from their personal problems, but as a supervisor, you must identify and focus only on the work performance concerns, no matter how obvious the employee's personal problems may be. It is tempting to involve yourself in solving your employee's personal problems. Unfortunately, this is a form of enabling and usually reduces the likelihood that the employee will contact the EAP for assistance.

Supervisors should ONLY focus on work performance and not diagnose or label an employee with a problem.



Identifying Work Performance or Behavior Problems

A change in an employee's behavior or work patterns may be caused by a wide range of issues. You may notice a change in the performance of a troubled employee through performance or the employee may seem distracted, have increased personal phone calls, be late or absent, be involved in accident(s), or present a negative change in attitude.

How would you respond in the following situations?

- You know that your assistant's husband is in the reserves and presently out of the country. You have received complaints from potential customers that proposals are full of errors. You want to be understanding but need to see your assistant's performance improve.
- John has worked for you for two weeks. Today he approaches you and states "I know I'm new here but I think Jerry is using drugs. He really should not be driving our delivery truck."
- Tony and Sheila both work for the company and have been dating for the past year and suddenly are having difficulty in their relationship. Tension is obvious and its clear other employees are uncomfortable around them.
- You confront an employee who has been late for work for the last three days. They say to you "Why are you always picking on me? You single me out from the others! Joan is late for work and you don't have this conversation with her....quit harassing me!"

The average cost to replace an entry level person is \$17,000. A mid-level supervisor is 150% of their annual salary and a specialized employee can cost up to 400% of annual salary. SHRM, 2006

Warning Signs

Listed below are examples of early warning signs that might indicate an employee who is troubled. It's important to note that an occasional incident involving poor work performances doesn't always mean a serious problem is present. Instead, it's important to look for repeated incidents and patterns that could indicate that a problem exists.

Absenteeism and Tardiness

- Excessive sick leave
- Frequent Monday and/or Friday absences
- Arriving late and leaving early
- Hard-to-believe, repetitious or unrealistic excuses
- Higher than average absenteeism for minor illness
- On the Job Absenteeism

High Accident Rate

- Accidents on the job
- Increased errors and waste
- Difficulty Concentrating

Job Performance

- Erratic Performance
- Increasingly unsatisfactory quality and quantity of work
- Irresponsibility in completing tasks
- Can't make decisions
- Alibi-prone, wanting to 'look good'
- Blaming others for performance shortfalls

Interpersonal Interactions

- Sudden emotional outbursts, anger, tears, laughter
- Mood swings, especially between morning and afternoon
- Over-reaction to real or imagined criticism
- Complaints from customers, clients and public
- Isolation from co-workers
- Borrowing money from co-workers
- Unreasonable resentments toward supervisors, coworkers and organization

Physical Appearance

- Change in Personal Hygiene
- Glazed or red eyes
- Slurred speech
- Disoriented
- Sudden weight loss or gain
- Shaking or nervous twitching

Documenting Performance Concerns

One of the most effective tools to use when managing employee work performance or behavior problems is documentation. When problems are small, it can be tempting to "look the other way" and hope the problem corrects itself. That usually is not the end result. Your task is to create a clear record of your observations.

Without effective documentation, it is difficult to motivate troubled employees to improve their performance; it is always the starting point for corrective action. Responding to a performance concern with accurate documentation (describing the event, time, witnesses, behaviors and performance) will provide the tool needed to recall the event at a later time. This documentation also provides the basis for meeting with the employee to clarify goals and expectations needed for the employee to successfully correct their actions.

General Supervisor Rule:

You should give three positive comments to an employee for every negative comment.

Your documentation may go on for weeks or even months, and should note continued unacceptable behavior, any discussions, encounters, or steps taken with employees and any verbal warnings. The language used in documentation of performance concerns should describe (not interpret) the unacceptable behavior. It is important to avoid emotional and subjective language when constructing documentation. Stay focused on facts and observed events and the traditional “who-what-where-when-why-how” paradigm.



Examples of Effective and Not As Effective Documentation:

Effective: Jane has been late for work on the following dates: June 6, June 19, July 2 and July 8. In addition, I have observed she has returned 30 minutes late from lunch on June 9th and 10th and again June 17th and 18th. I spoke with her regarding her tardiness on July 10th and gave her a verbal warning.

Not As Effective: Jane is late for work a lot and hasn't changed even though I spoke with her last week. I heard that she is having marital problems.

Effective: On September 15th I observed Jack yelling at Sharon because the reports he asked for were not complete. This was followed by Jack cursing as he left Sharon's office. He was absent from his work area for 30 minutes.

Not As Effective: Jack has a difficult time getting along with Sharon and needs quit using foul language at work.

Supervisor's documentation should only be shared with the employee concerned and the supervisor's supervisor and/or Human Resources when seeking policy and procedure clarification and support. Documentation of one employee's conduct should never be disclosed to other employees.

Also, remember to also record positive information about your employee when documenting performance problems. You need to also recall these events at the time of performance reviews and in meeting and providing feedback to your employees.

Keep in Mind

You may need to reference information you document months later. It must be clear and detailed enough for you to recall the event accurately.

Developing a Performance Improvement Plan

Many times when an employee reaches the EAP, they realize they “have done something wrong” but are never quite sure what they should do to improve. Employees can only be successful at changing behavior if they acquire clear direction from their supervisor about what behavior needs to change and how that change should occur. Involve your Human Resource Department in planning for the development of the Performance Improvement Plan.

The Performance Improvement Plan can be quite simple. Changes you would like to see made by the employee must be measurable or objectively verifiable. The supervisor should include clear improvement goals, and importantly, should include possible consequences for failure to change the offending or nonproductive behavior. For example:

Incident Description:

On August 10, 2009 you were sent home for wearing inappropriate clothing at work and verbally warned about future violations of the company dress code. On that same day, I provided you with a copy of the company’s dress code and you stated you read and understood the content of the code. On August 14, you arrived at work in jeans. You stated they were “designer jeans and that the rest of your outfit was appropriate for work.” When I first approached you about your dress you yelled and cursed at me and your immediate manager. As a result of this conduct, you are receiving this written warning regarding your dress. You will be sent home without pay for the remainder of the day.

Measurable Improvement Goals

- I expect that you will abide by all company standards, especially the dress code.
- Specific Guidelines for your dress are appropriate skirt lengths; tops and pant suits are to be appropriate for the business office. Jeans, tennis shoes, flip flops, sweatshirts, jogging suits and backless halter-type tops are prohibited. There will be no exceptions made.
- I expect you to assist our organization in projecting a positive image to our guests and your co-workers by complying with our dress code.
- I expect you to respond to any criticism in an appropriate way and not raise your voice and curse in the workplace.

Consequences of Not Meeting Goals

- Your immediate manager will monitor your compliance with the dress code on a daily basis.
- If you do not follow the dress code, you will be subject to disciplinary action, up to and including termination of your employment.

If you raise your voice in anger or curse in the workplace you will be subject to disciplinary action, up to and including termination of your employment.

I will meet with you in 30 days and again in 60 days to review your compliance with this Performance Improvement Plan.

Meeting With the Troubled Employee

You have now Observed a behavior problem, Documented the behaviors and your actions, and developed your Performance Improvement Plan. Now it's time to Meet with your employee. This can be a very stressful event for most managers, but by planning ahead, you will maintain control and reach the planned objective---Correcting the Behavior.

- Review your concerns with your Legal and/or Human Resource Department and review your organization's policies and procedures.
- Call the EAP and consult with one of the Managers about your plan.
- Inform the employee of the time, place and duration of the meeting and for how long you would like to meet.
- Select a quiet and confidential location.
- Review your documentation.
- Decide what you want to say "script it out" in your mind.
- During the meeting, stay focused on job performance --don't diagnose.
- Don't allow yourself to be distracted—"We are here to talk about you."
- Present your concerns, discuss your documentation and state your expectations for change.
- End the meeting by providing the employee a clear Performance Improvement Plan.
- You may want to offer an informal referral to the EAP.

Monitoring the Performance Improvement Plan

As outlined in the Performance Improvement Plan, you will meet with the employee to provide feedback and observations about his or her compliance with the Plan. Depending on the situation, you may want to meet weekly, monthly, or at some other interval that you've shared with the employee.

Monitor performance. If improvement is noted, share that with the employee. If performance deteriorates, document the deficiency; you may want to adjust the Plan. Provide suggestions, and as appropriate, offer praise and encouragement. Offer a referral to the EAP to assist the employee in making changes.

Important Reminder

1. Always involve your HR department in planning your employee meeting.
2. Call UTEAP to discuss your strategy and options in confronting performance issues. (800) 346-3549

Referring an Employee to the EAP

Ideally, your meeting with your employee and the discussion related to performance improvement will motivate a change in behavior. However, when a chronic personal problem contributes to performance problems, it is more likely that self-correction will last only a few days or weeks.

Sometimes troubled employees confronted with performance shortcomings will voluntarily seek help for personal problems. Others remain in denial that a personal problem is causing their performance or behavior issues or will not be motivated until disciplinary action is a certainty. These employees may eventually need a mandatory supervisor referral to the EAP.

There are four types of Referrals: Informal Supervisor Referral, Performance-Based Mandatory Referral, Drug Test Mandatory Referral and a Department of Transportation (DOT) Mandatory Referral. Please check with your Legal and/or Human Resource Department to determine which of these referrals are applicable to your organization, and appropriate for a given situation.

Informal EAP Referral

Even if your organization does not have a policy concerning Mandatory Referrals, (where an employee is required to contact the EAP regarding their job performance), a supervisor can certainly remind an employee of the resources available through the EAP. Many employees will often voluntarily contact the EAP at the suggestion of their supervisor, especially if they feel the supervisor has expressed genuine concern regarding their well-being and is offering this resource to help get the employee “back on track.”

An informal referral is only a reminder or suggestion to the employee regarding the services available through EAP; the employee has no obligation to contact the EAP. The supervisor/manager emphasizes that the services are confidential and free to the individual, and the supervisor should provide the EAP contact telephone number, pamphlet or referral card. The individual may or may not accept the informal referral.

Not sure how to bring up the EAP to your employee? Here are a few examples:

Did you know?

- *25% of the workplace meets the clinical diagnostic criteria for depression on any given day. (NMH)*
- *At any time, 30% of your workforce is affected by their own, a family member's or co-worker's problem. (CADA)*

- “John, you mentioned you are having some problems with your marriage. Remember we have an EAP. Here is their card if you would like to give them a call.”
- “Sally, you have been late for work three times this month. If something in your personal life is keeping you from getting to work on time, you might want to give the EAP a call. Here is their pamphlet.”
- “Bill, you mentioned that you’ve received a notice regarding wage garnishment. If you need some help with your finances, here is the number for the EAP.”

Mandatory Referrals

Performance-Based Mandatory Referral

When work performance or behavior violates your organization's policy(ies), the organization may require the individual to contact the EAP by making a Mandatory Referral. The supervisor involved calls the EAP to discuss the referral and the policy violation(s) or performance issue(s). The supervisor/HR then conducts the employee meeting and presents documentation related to the observed behavior. The release of information form is signed by the employee, and the supervisor instructs the individual to call the EAP (usually within 24 hours for most organizations). The EAP will confirm with the supervisor whether or not the individual has called. An EAP appointment will be scheduled to assess the problem and develop a treatment plan. Following the Assessment findings, a Return to Work/Last Chance Agreement will be developed and provided to the organization for the employee and supervisor to sign. The employee will be required to comply with all the requirements and recommendations in the Agreement. EAP will monitor compliance with the Return to Work/Last Chance Agreement until completion. EAP will provide monthly compliance reports to the organization and notify the organization immediately if the employee violates the Agreement. At that point, the appropriate disciplinary action (consequence) outlined in the Agreement would occur. Upon successful completion of the terms of the Agreement, the organization will be notified.

Prior to making any type of Mandatory Referral the supervisor and/or HR representative should call and consult with an EAP Mandatory Referral Specialist. EAP will assist in making the referral, and send your organization the appropriate "Release of Information and Mandatory Referral Agreement" and any other related documents necessary or recommended to complete the referral process. Samples of all documents used in Mandatory Referrals are included at the end of the Leadership Manual.



Drug Test Mandatory Referral

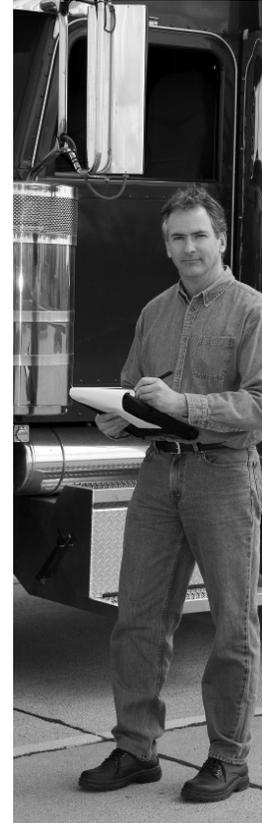
Many organizations have a proactive drug-testing program that may require "random," "post-accident" or "for cause" drug screening of employees. When an organization is informed by their testing laboratory that an employee has failed a drug test, the supervisor/HR should notify and consult with the EAP regarding the test results and discuss the referral. As with other mandatory referrals, EAP will send the organization the appropriate forms for signature. The supervisor and/or HR conducts the employee meeting with the individual, signs the appropriate documents and advises the employee they have 24 hours to call the EAP. The supervisor notifies EAP of the referral and EAP will notify the supervisor or HR representative if the individual calls and makes an appointment. An assessment of the problem will be completed by an appropriate counselor and, if appropriate, a treatment plan will be developed. Based in part or in whole on the counselor's recommendations, a Return to Work Agreement/Last Chance Agreement will be drafted and sent to the organization. EAP will monitor compliance with the Agreement until completion. The EAP

will send monthly reports regarding compliance to the designated representative of the organization. Should an employee not comply with the Agreement, disciplinary action (as described in the Agreement) would be applied. Upon successful completion of the terms of the Agreement, the organization will be notified and the employee returned to non disciplinary status.

Department of Transportation (DOT) Mandatory Referral

When an organization is required to comply with DOT Drug Free Workplace Regulations, and an employee in a safety or security sensitive position tests positive on a random, “for cause” or post-accident drug screening, the supervisor or designated employer representative should immediately call to consult with EAP in preparation for making the mandatory referral.

As with all mandatory referral procedures, the supervisor, safety officer and HR should call the EAP upon learning of the positive test to consult and arrange the referral; EAP will send the appropriate releases and referral documents. The individual is given the standard time allotment to call the EAP, and EAP will notify the company/organization whether the individual called and made an appointment. EAP will arrange an evaluation of the individual by a Substance Abuse Professional (SAP). The SAP will assess the individual’s needs, and as appropriate, develop a treatment plan, and establish the timeframe and conditions of the individual’s return to duty. The DOT specific Return to Work/Last Chance Agreement is developed by EAP following the plan requirements developed by the SAP. Compliance with the DOT specific Return to Work/Last Chance Agreement is monitored by EAP, and monthly reports are provided to the supervisor or organization’s designated representative. Should an employee not comply with the plan, the employee would be subject to disciplinary action, as outlined in the plan. Upon successful completion of the terms of the agreement and approval of the SAP, the organization will be notified.



The standard fee for an SAP evaluation is \$650-\$750 and is [not covered under the EAP contract/agreement](#). Most organizations require that the individual pay the fee if they intend to continue employment. If they elect to discontinue their employment, the employer is required by the DOT to provide a list of local substance abuse professionals to the employee. EAP will provide that list at the request of the organization.

In Summary: Key Leadership Points

- Observe performance, provide direction and feedback, offer praise and provide the tools needed for employees to be successful.
- Respond to performance or behavior issues early to prevent the escalation of the problem.
- Care about your employees, but don't mistake caring with "looking the other way" when performance or behavior problems are present.
- Friendship with an employee does not override your responsibilities as a leader in applying policies and discipline.
- Expecting employees to be responsible for their personal and family problems is reasonable and necessary.
- Don't become caught up in the "drama" of the situation or an employee's personal problems. Focus on work performance and acceptable conduct.
- Providing employees with access to resources for assistance in solving their problems is a powerful way to show you care and that you want them to be successful.
- Your loyalty must always be to the best interests of your organization and your focus on providing a healthy and safe workplace.
- UTEAP is available to assist you through consultation the provision of solutions to difficult workplace problems.

Leadership Self-Care

As B.B. King sings, sometimes you "pay the cost to be the boss."

Supervisors often put in long hours and are continually dealing with hectic schedules, managing change (for themselves and their employees), and the stress that comes with high-level decision making.

Just because you are in a supervisory role does not mean you are immune to the stress, anxiety, conflict, and workplace pressure that comes with the position. In fact, many people are put into supervisory roles because they are "achievers" -- which can often add even more stress. You may miss your child's ball game because a piece of equipment isn't functioning properly, or you may work on Saturday because the budget is due, you receive calls at night (and like many people in leadership positions, you have those nights where you are awake at 2:00 a.m. wondering if you scheduled the shipment for tomorrow or wishing you had not sent that email).

Keep in mind that the EAP is here to also help you and your family. EAP offers resources for leaders that can help prevent "burnout" and help supervisors and other management personnel achieve a healthy balance between work and their personal lives. Whether you're looking for stress management tips, interested in developing new skills, or would like assistance with resolving conflict in your home or professional life, the EAP can be a valuable resource. Of course, all services provided by the UTEAP are confidential.

Authorization for the Release of Information Mandatory Referral

By signing this document, you are authorizing UT Employee Assistance Program (UTEAP) to release your protected health information described below to your employer for the sole purpose of determining compliance with the UTEAP Mandatory Referral Program. This authorization is valid for a period of 90 days from the date noted on the signature line below. You may revoke this document at anytime by notifying UTEAP in writing at the address at the bottom of this release. Your cancellation of this authorization will not affect any action taken by UTEAP before it received your cancelation request.

I, _____ (Employee Name) authorize the exchange of my protected health information identified below between UTEAP and:

(Supervisor or HR Representative Name)

(Title)

(Insert Company or Organization's Name)

Information to be Exchanged Includes:

- Compliance with the mandatory assessment and evaluation process.
- Determination of action/treatment program.
- Compliance with recommended action plan/treatment program.
- Results of any failed drug/alcohol test if required under the action plan/treatment program (if applicable).
- Completion of the action plan/treatment program.

Other specific information to be released:

The Purpose of this Authorization is to allow UTEAP to disclose and exchange information with the specific individual representative of the Company/Organization listed above to verify my compliance with the UTEAP Mandatory Referral Program and Return to Work / Last Chance Agreement.

I give UTEAP and their assessment provider permission to contact me and leave a message if needed, at the following phone number to arrange an appointment _____.

I acknowledge that the information to be released was fully explained to me. I am not legally obligated to sign this Authorization for the Release of Information.

Employee Signature

Date

Supervisor or HR Representative

Date

Mandatory Referral Agreement

Individual's Name: _____

The goal of the _____ (Company Name) is to maintain a safe and productive workplace. When an individual's behavior results in an adverse influence in the workplace a mandatory referral is made to the UT Employee Assistance Program (UTEAP). As a result of the following behavior or policy violation(s): _____.

I agree to accept a Mandatory Referral to the UTEAP and follow through with the requirements and conditions listed below. I fully understand that my continued employment and/or reinstatement of employment with my employer are contingent upon my compliance with all terms of this Agreement.

1. I agree to undergo an assessment and evaluation to be provided through UTEAP. I understand that I am not responsible for the cost of this evaluation provided through UTEAP.
2. I will contact the UTEAP no later than _____ (Date/Time) at 800-346-3549 to schedule an appointment for an evaluation.
3. I will comply with the recommendations of UTEAP following my assessment and evaluation and, any further recommendations that may be made by my counselor during any subsequent visits as a part of this Agreement. I understand that the cost of any follow-up treatment or education will be my responsibility. I also understand that my health care insurance may be available to pay for a portion of that cost.
4. I will comply with all terms of a Return to Work / Last Chance Agreement developed by UTEAP and my assessment and evaluation provider.
5. I authorize the representatives of my employer listed on my signed Authorization for Release of Information Form (attached) to receive all relevant information regarding my compliance and progress with UTEAP and treatment provider's recommendations.
6. I agree that my employer may fax a signed copy of this Mandatory Referral Agreement and a signed copy of the Authorization for the Release of Information Form to UTEAP within 24 hours. The UTEAP Fax number is 713-500-3330.
7. Should I have questions or concerns regarding this process or any resulting treatment plan, I will work directly with my treatment provider or UTEAP to address these concerns. In the event my employer needs to be involved in this process, UTEAP –not myself- will conduct that communication directly with the my employer to address my concerns.
8. I give UTEAP and their assessment provider permission to contact me and leave a message if needed, at the following phone number to arrange an appointment _____.

I recognize, accept, and agree that I am responsible for meeting the standards of performance and conduct that are established by my employer. I understand that failure to comply, in whole or in part, with all of the terms and conditions of this Agreement and my Return to Work / Last Chance Agreement will result in further disciplinary action, up to and including termination of employment.

Employee Signature

Date

Company Representative

Date

Return to Work/Last Chance Agreement

Employee's Name: _____

I have completed the Mandatory Referral Assessment arranged by the UT Employee Assistance Program (UTEAP). I agree to accept the requirements and conditions listed below. I fully understand that my continued employment and/or reinstatement of employment with _____ is contingent upon my compliance with all terms of this Agreement.

1. I will comply with the recommendations of UTEAP made by my assessment and evaluation provider and agree to comply with the following requirements for my return to work. I understand that the cost of any follow-up treatment or education beyond that provided by the UTEAP through this assessment will be my responsibility. I also understand that my health care insurance may be available to pay for a portion of that cost.
2. I authorize the representatives of my employer listed on my Authorization for Release of Information Form signed as a part of the Mandatory Referral to receive all relevant information regarding my compliance and progress with UTEAP and treatment provider's recommendations.
3. Should I have questions or concerns regarding this process or any resulting treatment plan, I will work directly with my treatment provider or UTEAP to address these concerns. In the event my employer needs to be involved in this process, UTEAP –not myself- will conduct that communication directly with my employer to address my concerns.
4. I agree to complete the following requirements developed as a result of my assessment and evaluation:

I give UTEAP assessment and their provider permission to contact me and leave a message if needed, at the following phone number to arrange an appointment _____.

I recognize, accept, and agree that I am responsible for meeting the standards of performance & conduct that are established for employees of the company/organization. I understand that failure to comply, in whole or in part, with all of the terms and conditions of this Return to Work/Last Chance Agreement will result in further disciplinary action, up to and including termination of employment.

Employee Signature Date

Company Representative Date

Company/Organization Name

Return to Work/Last Chance Agreement Violation of DOT Drug Free Workplace Policy

Employee's Name: _____

The goal of _____ (Company Name) is to maintain a safe and productive workplace. As a result of my violation of the Company/Organization's Department of Transportation (DOT) Drug-Free Workplace Policy, I agree to accept a Mandatory Referral to the UT Employee Assistance Program (UTEAP) and follow through with the requirements and conditions listed below. I fully understand that my continued employment and/or reinstatement of employment with my employer are contingent upon my compliance with all terms of this Agreement. I agree to the following:

1. I will contact UTEAP no later than _____ (Date/Time) at 800-346-3549 to schedule an appointment for a Substance Abuse Professional (SAP) evaluation.
2. I agree to take part in an evaluation by an SAP, identified by UTEAP and who is qualified to do this evaluation under DOT guidelines. This evaluation will be coordinated by the UTEAP and I understand that I will be responsible for all cost associated with the SAP.
3. I will comply with all SAP evaluation recommendations and any further recommendations that may come from the SAP or subsequent treatment provider (if any). I understand that the cost of any follow-up treatment or education will be my responsibility. I also understand that my health care insurance may be available to pay for a portion of that cost.
4. I will comply with all terms of a Return to Work / Last Chance Agreement developed by the SAP and UTEAP.
5. I will be subject to unannounced drug testing for up to two years from the date of this Agreement.
6. I authorize the representatives of _____ (Company Name) listed on my signed Authorization for Release of Information Form (attached) to receive all relevant information regarding my compliance and progress with UTEAP and treatment provider's recommendations.
7. I agree that my employer may fax a signed copy of this Return To Work / Last Chance Agreement and a signed copy of the Authorization for Release of Information to UTEAP within 24 hours. The UTEAP fax number is 713-500-3330.
8. Should I have questions or concerns regarding this process or any resulting treatment plan, I will work directly with my treatment provider or UTEAP to address these concerns. In the event my employer needs to be involved in this process, UTEAP –not myself- will conduct that communication directly with _____ (Company Name) to address my concerns.
9. In addition to the above I agree to the following recommendations made by the SAP and UTEAP.

I give UTEAP and their assessment provider permission to contact me and leave a message if needed, at the following phone number to arrange an appointment _____.

I recognize, accept, and agree that I am responsible for meeting the standards of performance and conduct that are established for employees by my employer. I understand that failure to comply, in whole or in part, with all of the terms and conditions of this agreement will result in further disciplinary action, up to and including termination of employment.

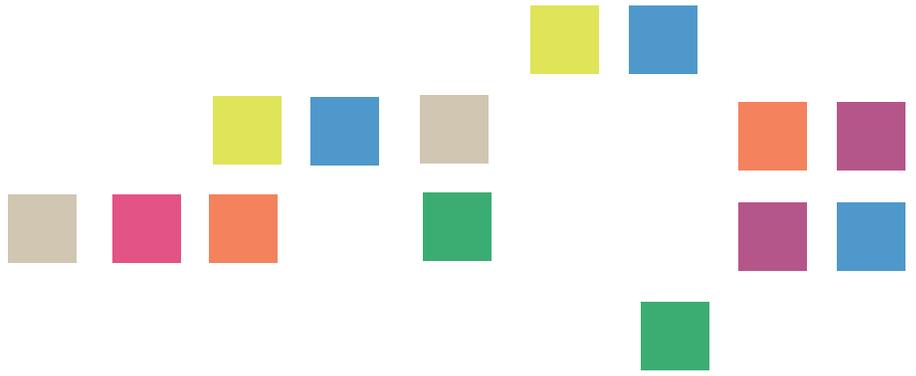
Employee Signature

Date

Company Representative

Date

Company Name



THE UNIVERSITY of TEXAS
HEALTH SCIENCE CENTER AT HOUSTON

UT Employee Assistance Program
800-346-3549 | www.uteap.org