

HelpPeopleSM
Employee Assistance Program

Everyone needs help *sometime*



SUPERVISOR MANUAL

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SUPERVISOR'S RESPONSIBILITIES

- A. The Supervisor is responsible for developing a safe, healthy and productive work environment. If an employee is influenced by drugs, alcohol, anxiety, depression, other personal problems or work issues, he or she may be jeopardizing the health and safety of others and disrupting the work environment.
- B. The Supervisor is also *responsible to superiors for getting the job done*. If an employee's performance is slipping and the job is not getting done, the Supervisor has a responsibility to intervene.
- C. The Supervisor is also *responsible for delivering a quality product to the consumer*. *Poor performance may result in the reduced quality of work, whether it involves teaching, support services, transportation, or quality of custodial services.*



WORK SITUATIONS THAT MAY REQUIRE COACHING

Check any that you have personally encountered:

- Orientation and training of a new employee
- Teaching a new job skill
- Need to explain standards of the work unit
- Need to explain cultural norms and political realities of the organization
- Simple corrections to performance are required
- Goals or business conditions change
- You are new to a group
- Employees facing new work experience
- Employee that needs help setting priorities
- Follow up to a training session
- Employee that displays low or moderate performance
- Employee who needs reinforcement for good performance
- Employee wants to become a peak performer
- Formal or informal performance reviews
- Employee needs preparation to meet his/her future career goals
- Employee needs preparation for more challenging work assignment
- Employee needs self-confidence developed
- When power or control battles are affecting team cohesiveness

Can you think of any other situations that may require coaching?

1) _____

2) _____

WORK SITUATIONS THAT MAY REQUIRE COUNSELING

Check any that you have personally encountered:

- Reorganizations
- Layoffs - counseling for those who are laid off and those who are not
- Demotions due to organization changes
- Salary freezes; decreases in salary, status or responsibility
- Employee faced with other career opportunities inside or outside of the organization
- Employee faced with no career opportunities inside the organization
- Employee unhappy with you as boss
- Employee unhappy with work assignment
- Employee who has conflict with peer
- Employee that feels stressed or burned out
- Employee who feels insecure about skills or ability to do the job
- Employee quitting to take new job
- Employee who has been promoted and is scared
- Employee that shares personal problem requiring support
- Employee whose personal problems are affecting performance of others
- Performance problems that persist
- Employee who is experiencing failure
- Employee who is disappointed in new job

Can you think of any other situations from your personal experience where counseling would have been effective?

1) _____

2) _____

CHARACTERISTICS OF EFFECTIVE COACHES

Below are the 20 characteristics employees have used to describe bosses who are effective coaches. Rate yourself in terms of what your employees would say about you. Be honest. Your answers are meant for you only.

SCORING KEY:

1 – Seldom displayed

2 – Sometimes displayed

3 – Almost Always displayed

As a coach, I:	Seldom	Sometimes	Almost Always
1. Capitalize on employee's strengths	1	2	3
2. Give employees visibility	1	2	3
3. Provide freedom to do job	1	2	3
4. Set standards of excellence	1	2	3
5. Orient employee to company values and business strategy	1	2	3
6. Hold employee accountable	1	2	3
7. Protect employee from undue stress		2	3
8. Encourage employee when he/she is discouraged or about to undertake new or difficult assignments	1	2	3
9. Provide information about the company and the employee's role in the attainment of company goals	1	2	3
10. Make performance expectations and priorities clear	1	2	3
11. Take time to build trust	1	2	3
12. Provide appropriate training and support when needed	1	2	3
13. Solicit and listen to ideas	1	2	3
14. View employees as partners and critical to the success of the unit	1	2	3
15. Serve as a good role model	1	2	3
16. Won't let employee give up	1	2	3
17. Don't divulge confidences	1	2	3
18. Explain reasons for decisions and procedures and Give advance notice of changes whenever possible	1	2	3
19. Provide employees with regular feedback about their Job performance	1	2	3
20. Give employee credit when they deserve it	1	2	3
TOTAL	_____	_____	_____

Scoring: A total of 50-60 = Excellent; 40-49 = Good; below 40 = needs improvement

Now choose three characteristics that need the most improvement and write them below.

1. _____ 2. _____ 3. _____

MYTHS & BARRIERS IN THE ROLE OF THE SUPERVISOR

It is unfortunate when a gap develops between what is intended in an employee assistance program policy and what actually happens on implementation. More often than not, when this occurs, it is the result of various myths, attitudes and barriers. Although these are understandable, unless the problem is confronted, it usually only gets worse. This not only affects the employee, but also reflects on the Supervisor.

It is often possible to avoid pitfalls if one is aware of them and understands them. Below is a list of some of the common myths and barriers to utilization of an employee assistance program:

Common Myths and Barriers (statements are not true)

1. A misguided sense of responsibility. The Supervisor feels it is his or her responsibility to handle and correct all problems and feels it is a sign of weakness or failure to get help.
2. The cover up. The Supervisor is afraid of ruining the employee's reputation and career.
3. Making excuses, e.g., "He's a good worker when he's here." The Supervisor divorces the employee's expertise from his or her dependability.
4. The Supervisor feels he or she must be a "nice" person and be liked, and confuses this with respect.
5. The Supervisor is uncomfortable giving negative feedback.
6. The Supervisor has a stereotyped image of the impaired employee, e.g., the alcoholic must be a "falling down drunk."
7. An employee assistance program is almost exclusively an alcohol/drug program - referral labels person.

THE TROUBLED EMPLOYEE

Definition:

The troubled employee is an individual whose job performance is adversely affected by a personal problem, illness, or work issue.

Employees who have distressing personal or work problems, may not necessarily have performance issues.

Types of Impairments:

In a given employee population, approximately 10-20% are experiencing some kind of personal difficulty. Of this group, the following types of problems will be found in these approximate frequencies:

Marital and Family	50-60%
Emotional	10-20%
Alcohol and Drug	10-20%
Job/Career	10%
Stress	5%
Other (e.g., eating disorders, domestic violence, financial, legal)	15%



A SUPERVISOR SHOULD SPEAK WITH AN EMPLOYEE WHO IS EXPERINCING JOB PROBLEMS.....

When it affects the employee's output (one that is recognized most easily).

When it affects the output of others (those problems that distract or hinder others from doing their jobs).

When it violates organizational policy or procedures. (Employees not adhering to established policies, codes or procedures are exercising poor work habits).

When it violates safety rules or regulations (some of the most serious problems resulting from personal problems). The employee who is unable or unwilling to work safely represents one of the foremost dangers in the workforce.



ROLE OF SUPERVISOR IN ASSISTING THE TROUBLED EMPLOYEE

It is important to note that the following are **guidelines** and **are not intended to replace or supersede company personnel policies**. Rather, these should be used in conjunction with existing disciplinary procedures.

Upon identifying that an employee is experiencing job performance concerns, the best solution is to take a proactive approach that uses a combination of supervisor corrective coaching and progressive discipline. The type of corrective action you may take in a given situation depends on four factors: 1) the nature and seriousness of the problem, 2) whether it is a first time or repeat offense, 3) past practice in handling similar disciplinary problems, and 4) whether there are any special circumstances that could impact the level of disciplinary action.

Three steps are involved in assisting the troubled employee. It is important to follow these steps in the prescribed sequence in order to effectively use HelpPeople for your employees' benefit.

Step 1. OBSERVATION

Initially, it is necessary that you carefully define what job performance standards are acceptable. This provides a frame of reference by which you can measure job performance deficiencies.

Next you will determine that a job performance problem exists. This process involves the following components:

- A. Observe the job performance deficiencies (see "Job Performance Deficiencies"). **There will be a pattern of these deficiencies.**
- B. Define all parts of the job performance problem.
- C. Determine if the employee is properly trained to do the work.
- D. Evaluate if the employee is capable of and suited to do the work.
- E. Determine what kind of training/retraining might help.
- F. When job performance problems continue despite Supervisor assistance, consider the possibility that the employee could benefit from HelpPeople intervention. Call the counselor at (315)-470-7447 or 1-800-777-6110 (outside Syracuse) if in doubt.



OBSERVATION
JOB PERFORMANCE DEFICIENCIES



Listed below are various job performance deficiencies that can be used as a guide in evaluating an employee's job performance. A pattern of such deficiencies that are not corrected despite routine Supervisor efforts may indicate an underlying personal problem or illness.

Absenteeism

- Multiple instances of unauthorized absences
- Excessive sick days
- Frequent Monday and/or Friday absences
- Repeated absences, particularly if they follow a pattern
- Excessive tardiness
- Frequent use of unscheduled vacation days to cover absence
- Leaving work early
- Peculiar and increasingly improbable excuses for absences
- Higher absentee rate than other employees for colds, flu, etc.
- Frequent unscheduled short-term absence (with or without medical explanation)
- Identification badge frequently forgotten



On-The-Job Absenteeism

- Frequent absences from post for more time than job requires
- Excessive tardiness in returning from breaks, meals
- Unexplained absences from work assignment

Accident Rate

- Accidents on job
- Accidents on job due to carelessness
- "Peculiar" accidents

Changes in Personal Habits

- Reporting to work in other than normal condition
- Returning from lunch or dinner in a noticeably different behavior mode
- Declining attention to personal hygiene
- Deteriorating personal appearance



Poor Job Performance

- Missed deadlines
- Complaints from non-employees
- Improbable excuses for poor job performance
- Alternate periods of high and low productivity
- Difficulty in recalling instructions, details, deadlines, etc.
- Difficulty in recalling own mistakes
- Increasing difficulty in handling complex assignments
- Jobs take longer than necessary to complete
- Erratic work habits
- Diminished morning performance
- Diminished concentration
- Poor judgment
- Increased mistakes
- Decreased productivity (quality and quantity)
- Reduced efficiency and dependability
- Poor decision-making

Poor Interpersonal Relationships On-The-Job

- Overreaction to real or imagined criticism
- Wide swings in morale
- Borrowing money from co-workers
- Complaints from co-workers
- Unrealistic resentments
- Avoidance of associates
- Increasingly argumentative with co-workers
- Excessive talking with co-workers
- Strained relations with co-workers

Other

- Inappropriate behavior
- Failure to follow organization's policy

POTENTIAL WORKPLACE VIOLENCE CHECKLIST

Behaviors

- Past history of violence
- Direct threat was made
- Bizarre behavior/speech
- Alcohol/drug abuse
- Empathizes with violent acts
- Past suicidal attempts
- Cruelty to animals
- Anger related accidents
- Refuses to comply with work rules
- Excessive belligerence
- Unable to take criticism
- Carrying concealed weapon
- Makes intimidating statements
- Religious/political proselytizing
- Unstable work history
- Unexplained increase in absenteeism
- Closes account in company credit union
- Inappropriate/derogatory comments to co-workers

Psychological Factors

- Suicidal ideation
- Poor impulse control
- Mood swings
- Obsessive focus
- Fascination with weapons
- Angry
- Depressed
- High level of anxiety
- Lack of options to resolve problem
- Blames others for problems
- Romantic obsession with co-workers
- Interest in violent acts
- Moral righteousness
- Chronically disgruntled
- Withdrawn
- Difficulty concentrating

Motivation

- Revenge
- Harass
- Embarrass
- Power/control
- Frustration

Environmental stressors

- Bad performance review
- Disciplinary action or termination
- Family issues
- Corporate change, layoffs
- Other recent violent acts in company or community
- Access to weapon(s)
- Cultural factor
- Little or no family/social support
- Victim of recent traumatic event
- Authoritarian management style

Physical signs

- Hard/deep breathing
- Sighing
- Menacing stare
- Tight and rigid movements
- Fast and profane speech
- Pacing
- Tics
- Inability to sit still
- Pounding fist on objects
- Slamming equipment

Step 2. DOCUMENTATION

- A. The Supervisor* must make work performance and attendance guidelines clear to the employee.
- B. The employee's Supervisor, as a matter of course, maintains a documented record of work performance and attendance. The Supervisor keeps accurate records of attendance, quality and quantity of work.
- C. The Supervisor will attempt to determine whether poor work performance can be eliminated through Supervisor assistance such as additional training, re-distribution of work, etc. If it can be, the problem is probably work-related; if not, the problem could be of a personal nature.
- D. The Supervisor will record incidents of poor work performance as they occur. He/she should be clear and concise and include: date, time, and specifics of the occurrence (see "Documentation Worksheet"). This brief record will be retained in the Supervisor's files (not in the company personnel files).
- E. The Supervisor must be objective and record actualities, not impressions or hearsay.
- F. Documentation will include statements about acceptable as well as unacceptable performance.
- G. The Supervisor will document performance on the job only.
- H. All documented information will be kept strictly confidential and may be discussed only with the employee, the immediate Supervisor and the counselor at the EAP. Organizational policies may dictate formal procedures for documentation of progressive discipline, be sure you are informed about them.
- I. When documentation of poor performance warrants, the Supervisor will conduct an interview with the employee.

*"Supervisor", as used in this procedure statement, means the person to whom the employee reports directly. The "Supervisor" could be a Vice President, Director, Manager or First Level Supervisor.

DOCUMENTATION WORKSHEET

KEY PRINCIPLES:

- * MAINTAIN OR ENHANCE SELF-ESTEEM
- * LISTEN AND RESPOND WITH EMPATHY
- * ASK FOR HELP IN SOLVING THE PROBLEM

1. Previous job performance:

2. Present job related problems - (use "Job Performance Deficiencies" checklist):

Dates

Events

3. Absenteeism and/or tardiness:

Dates

4. Previous discussions with employee:

Dates

Topic

EMPLOYEE PERFORMANCE SCALE

1. Work Quality:

Below Average	Average	Above Average
1	2	3
4	5	
<input type="checkbox"/> Quality considerably below accepted standards <input type="checkbox"/> Missed deadlines <input type="checkbox"/> Poor judgment <input type="checkbox"/> Unfinished projects <input type="checkbox"/> Poorly executed work <input type="checkbox"/> Sloppy work <input type="checkbox"/> Overreaction to criticism	<input type="checkbox"/> Average quality <input type="checkbox"/> Satisfactory completion of assignments	<input type="checkbox"/> Quality considerably above accepted standards <input type="checkbox"/> Projects always completed on time <input type="checkbox"/> Excellent judgment <input type="checkbox"/> Projects usually done extremely well

Comments: _____

2. Work Quantity:

Below Average	Average	Above Average
1	2	3
4	5	
<input type="checkbox"/> Output below minimum standards	<input type="checkbox"/> Average amount of work output	<input type="checkbox"/> Consistently above the average output

Comments: _____

3. Peer Relationships:

Below Average	Average	Above Average
1	2	3
4	5	
<input type="checkbox"/> Unable to get along with co-workers <input type="checkbox"/> Uncooperative <input type="checkbox"/> Interferes with productivity or morale of co-workers	<input type="checkbox"/> Gets along satisfactorily with co-workers	<input type="checkbox"/> Positive influence on work group morale and/or productivity

Comments: _____

4. Changes in Personal Habits:

Below Average	Average	Above Average
1	2	3
4	5	
<input type="checkbox"/> Declining attention to personal hygiene <input type="checkbox"/> Deteriorating personal appearance <input type="checkbox"/> Reporting to work in other than normal condition	<input type="checkbox"/> Appearance satisfactory	<input type="checkbox"/> Well groomed high regard for self-image

Comments: _____

5. Relationship to Supervisor

Below Average	Average	Above Average
1	3	5
<input type="checkbox"/> Unable to get along with Supervisor	<input type="checkbox"/> Able to get along with Supervisor	<input type="checkbox"/> Outstanding ability to get along with Supervisor
<input type="checkbox"/> Uncooperative	<input type="checkbox"/> Cooperative	<input type="checkbox"/> Extremely cooperative
<input type="checkbox"/> Undermines Supervisor's leadership		<input type="checkbox"/> Goes out of way to help Supervisor meet goals and objectives
		<input type="checkbox"/> Can be looked to for support in adverse situations

Comments: _____

6. Attendance Record:

Below Average	Average	Above Average
1	3	5
<input type="checkbox"/> Poor attendance record	<input type="checkbox"/> Meets company standards	<input type="checkbox"/> Excellent attendance record
<input type="checkbox"/> Leaves work early often		<input type="checkbox"/> On time
<input type="checkbox"/> Tardy often		
<input type="checkbox"/> On the job absenteeism		

Comments: _____

7. Safety Record:

Below Average	Average	Above Average
1	3	5
<input type="checkbox"/> More than 1 OSHA recordable accident in last 6 months	<input type="checkbox"/> Complies with company rules and regulations	<input type="checkbox"/> Excellent knowledge of company rules and regulations
<input type="checkbox"/> Seldom follows safety standards set by company	<input type="checkbox"/> Shows good judgment on safety issues	<input type="checkbox"/> Is proactive in promoting safety issues
<input type="checkbox"/> More than one workers' compensation claim in last 6 months		<input type="checkbox"/> Can be counted on to report safety problems in other areas, besides their own

Comments: _____

Performance Improvement Plan

1. What specific areas, with measurable and tangible goals, would you like to see this employee improve?

2. Reasonable Improvement Time Frame:

Next occurrence during time frame: _____

Extension or maintenance period: _____

Scheduled follow-up/review meeting: _____

3. Consequences if performance expectations are not met: discipline steps (e.g. verbal or written warning)

Employee Acknowledgement – Improvement Plan Input: _____

x _____

I acknowledge the PIP – Employee Name

Date

x _____

Supervisor Name/Signature

Date

TIMELY TIPS

When Employees Have an Attitude

The hardest employee to work with is one who has an entitlement mentality – one who rolls eyeballs, sighs, and exhibits other forms of “silent” behavior. Supervisors resist dealing with these employees because it is easier to do so than to confront the individual.

1. Set up a meeting to explain how you perceive the employee’s actions and how that perception makes you feel. “I need your help. People say perception is reality until proven otherwise, and I feel as if you are angry with me or angry with the rest of the group. How would you feel if you were the Supervisor and one of your staff members rolled their eyes and sighed in a meeting with other employees?”
2. Ask for help to solve the “perception” problem and listen to what the employee has to say.
3. Do not use the word “attitude.” Refer to the list of “Job Performance Deficiencies.”

When Employees Report on Harassment

It only takes one time being in the middle of a “he said/she said” scenario to know you never want to be in that situation again. How do you protect your company when employees volunteer potential conflicts of interest that require disclosure? How do you respond?

“Janet, before you go any further, let me explain something to you. I can’t have a confidential or off-the-record conversation with you if what you’re about to say falls under one of these categories: (1) discrimination or harassment of any sort, (2) the potential for workplace violence, (3) any type of ultimate conflict of interest between you and the company. If what you are about to tell me has to do with one of those three things, then I have an obligation to disclose that information to management. Other than that, feel free to tell me what is on your mind.”

When Employees Don’t Like You or Their Co-workers and Create Interpersonal Conflict

When conflict arises between you and an employee, or between two or more of your employees, use the Step by Step model. When two employees are in conflict, as much as possible work with them individually and encourage them to address the conflict directly with each other.

Step 1: Your turn – “I’d like to hear your side of the story” or “tell me your perceptions of what’s going on.” - Listen without interrupting; show sincere interest; hear the person’s entire story; paraphrase & ask questions to clarify what has been said when the person has finished.

Step 2: My turn – “I’d like to discuss my perceptions with you.”

-Focus on the issue, avoiding personal accusations; focus on present & future; focus on solutions, not blame; speak your view firmly & persuasively; let them know that the situation needs to change.

Step 3: Mutual Planning – “What are the possibilities?” “How do you think we can resolve this issue?” -Ask employee(s) what they can do to resolve the situation; brainstorm for a quantity of ideas; offer ideas indirectly by suggestion.

Mutual Planning II – “What do we have in common?” “What are our goals?”

-Identify the company mission or shared priorities; identify any objections & discuss limitations; prepare an action plan for resolution.

Next Step: If, after all this, the conflict is still not resolved: Set up a private meeting with employees and address the conflict directly; establish performance expectations and consequences if expectations are not met; contract with both employees; encourage direct communication between both; schedule a follow up meeting to check on progress.

Sample CONFLICT MANAGEMENT FORM

Both parties in the conflict agree that the goal is to fix the problem – not to assign blame, hurt, humiliate, or threaten.

Employee # 1 – Explain what the problem is, express his/her feelings and state what changes they would like to see.

Employee # 2 – Explain what the problem is, express his/her feelings and state what changes they would like to see.

Establish an agreement with both employees as to the steps to be taken to resolve this issue. Both parties agree that whatever happens in the conflict session will remain confidential. Performance expectations, organizational policy regarding code of conduct and harassment and consequences if these are not met.

Employee Signature _____ Date _____

Employee Signature _____ Date _____

Supervisor Signature _____ Date _____



TIMELY TIPS

When Employee's Personal Appearance is Less Than Desirable

Talking to employees about inappropriate dress, body art or foul smells does not top the list of anyone's favorite things to do. What are your immediate responsibilities to your immediate subordinates, yourself and to the rest of your staff when it comes to uncomfortable workplace situations? How do you respond?

Bad Hair Days

"Leslie, come see me in my office for a few minutes. I have to share something with you, and I don't want to hurt your feelings or embarrass you in any way. This is private. Leslie, it's your hair. Something's either happening too much to it or not happening enough. You are making a bit of a statement because it is looking rather "severe." I thought it would be a good idea to address it with you quietly.

Body Piercing

"Michael, I need to talk with you privately about your fashion decision. First, let me say that I don't mean to embarrass you in any way. I respect you as a person, and I don't mean at all to dictate what you do in your personal life. But I have to ask you: Are you sure that you have given sufficient thought to your eyebrow ring and tongue post in terms of how they might alienate some of our customers you serve? Knowing this, would you be willing to remove them while at work? Or would you consider removing them whenever you have to deal with the public? What are your thoughts?

Body Odor

This complaint from employees that you supervise can be difficult to confront because it may not necessarily be something your employee can physically control and the Americans with Disabilities Act (ADA) may govern this matter. In preparing for any discussion with your employee regarding physical or mental conditions that may be governed by the ADA, remember that the law does not merely prohibit discrimination against the disabled. It imposes additional affirmative obligations on employers to accommodate the needs of people with disabilities.

"Joan (John), I need to make you aware of a situation that has come to my attention and I'll need your help to solve it. A few of your co-workers came to me out of concern for you but also out of concern for themselves. Apparently there is an odor coming from your desk/office that makes it difficult for them to approach you. The odor is described as being a combination of sweat and urine, and apparently this is the third time that they have noticed it. You don't need to share specifics with me regarding the cause. I'd rather you address some possible solutions with me, assuming that you agree that this could be a problem. Joan (John), you just take care of yourself. If you need time off or if the doctor recommends any special considerations that we can help you with, just let us know. We are all concerned about you and want to make sure that you will be OK."

Step 3. CONSTRUCTIVE INTERVENTION

Careful planning is recommended prior to intervening with an employee whose job performance deficiencies may be the result of an underlying personal problem (see intervention skills on the following pages). This will improve the chances that the employee will accept the assistance of HelpPeople. Planning should include both the content and sequence of the intervention. The intervention should be confidential and, therefore, should take place in a private setting. The intervention should also be restricted to a discussion of the job performance problem and the referral to HelpPeople. In order to ensure a constructive and successful intervention, the following attitudes should be displayed:

- Concern
- Support
- Respect
- Value of the employee

The intervention should then include the following steps: (see "Intervention Worksheet/Script").

- A. Review the specific, objective, documented performance problems with the employee. Explain your expectations regarding acceptable job performance.
- B. Inform the employee that the job performance problem will not be tolerated and that it is necessary to improve job performance. Describe the consequences of failure to correct the problem.
- C. Suggest that there may be something more going on that the employee may need to look at. If a work issue is suggested as a cause, be prepared to discuss retraining.
- D. Suggest that this is beyond the realm of the Supervisor's ability and should be explored with the appropriate individual. If the employee begins to talk about a personal problem, do not attempt to diagnose it or to recommend specific solutions. This is the function of the HelpPeople counselor (e.g., "I'm really not qualified to give you any advice on how to deal with that; I am here to discuss job expectations. HelpPeople may be able to help you meet those expectations").
- E. An **offer of assistance** in the form of a referral to HelpPeople should be offered when there is impairment in job performance. In making the referral, the Supervisor should take the following steps:
 - Describe HelpPeople - what it is, how it works, that participation does not threaten job security or future promotional opportunities. Stress the **voluntary** and **confidential** nature of HelpPeople. Provide the employee with a HelpPeople wallet card.
 - Stress that problems may get worse without help. Restate job expectations
 - Offer to call and make an appointment for the employee with HelpPeople if he or she wants to participate. (Either the Supervisor or the employee may call for an appointment).
 - The referring Supervisor will be advised if the employee acted on the referral and is cooperating **once** written consent from the employee has been obtained.
 - Continue to offer assistance through HelpPeople if the employee initially refuses the referral.

The quality of the referral for assistance depends on three factors: 1) how early the problem is recognized, 2) how respectfully the employee is confronted regarding the facts of declining job performance, and 3) how positively HelpPeople has been offered to the employee.

- F. Regardless of whether the employee chooses to participate in HelpPeople, follow through with established disciplinary procedures. HelpPeople is not designed to suspend normal disciplinary action or grant special privileges. In fact, disciplinary action usually increases the motivation of the employee to resolve the underlying problem.

Once an employee decides to participate in HelpPeople, he or she will be asked to authorize the release of information concerning his or her participation. Normally, most employees will authorize the release of such information. The Supervisor will then be informed if the employee is participating and making progress. The HelpPeople counselor should be advised periodically of the employee's job performance that the Supervisor should continue to observe and document. Once the employee agrees to participate in HelpPeople, the Supervisor can expect to see a leveling off of the performance impairment and then an improvement.

- G. Schedule a subsequent job performance review date with the employee and if appropriate, Supervisor (2-4 weeks is a recommended time).

If there has been improved performance, commend the employee.

If job performance continues to deteriorate, continue documenting the observed deficiencies and schedule another intervention session and repeat those steps.

CHECKLIST FOR INTERVENTION

If you observe a pattern of poor performance and/or attendance:

1. Have you already given the employee feedback?
2. Have you kept a documented record for your own files?
 - Is your documentation legible?
 - Does it follow the documentation model?
 - It is solely objective, not subjective?
3. Do you want to consult with an EAP counselor before conducting an intervention? (OPTIONAL)
Remember that you can speak with a counselor for a telephone consultation at any time you feel necessary.
Our regular hours are 8:30am – 5:00pm.

If you decide the documentation warrants *intervention*:

1. Have you prepared for the intervention - private setting, comfortable seating, available documentation, and an outline?
2. Have you reviewed intervention worksheet procedures in your EAP procedures outline?
3. Do you have the EAP counselor's phone number available? HelpPeople (470-7447 or 1- 800-777-6110).
4. During the intervention, have you scheduled a follow-up session with the employee?
5. After the intervention, have you recorded the highlights of the intervention?

If you plan to conduct a follow up meeting:

1. Have you continued to monitor and document performance?
2. Do you wish to consult with one of the EAP counselors or the internal coordinators before the intervention? (OPTIONAL)
3. After the intervention, have you recorded the highlights of the intervention and explained consequences?

If you are uncertain about any of these procedures, call HelpPeople at 470-7447.

INTERVENTION SKILLS: HELPFUL HINTS

Each person assumes that she/he is a skillful interviewer **naturally**. There are no such animals. Good interventions are as rare as good surgeons. A good intervention seems easy and natural. It is not easy or natural. This is an artificial situation where one person uses himself or herself to give feedback about behaviors the other party may not want to hear.

I. PREPARATION

Selecting the proper environment

Private, hopefully noise and distraction free.

Comfortable seating

Having your **documentation** organized and readily available

A suggested outline of what you want to cover with the employee

II. BEGINNING

Show attentiveness and confidence. When you appear to be competent and show that you believe in what you are doing, the other person may feel more comfortable and more likely to accept the information being given.

Establish eye contact. Look at the person when you are talking to him/her and he/she is responding with you. The spontaneous glance expresses an interest and desire to communicate.

Postural position

Sit comfortably. Face the person, hands generally in lap or arms of chair, use occasional gestures of your hands.

Be aware of facial expressions.

Verbal quality

Use pleasant voice intonation, steady verbal volume.

Reflect an affect appropriate to the message being communicated.

Speak in a way the person can relate to, don't use technical language that the person may not understand.

III. QUESTIONING

- * Don't be judgmental. You are not the judge, jury, policeman, or member of the clergy.
- * Have questions focus on performance data or facts.
- * Ask questions that allow the person to become involved, i.e. "Tell me more about that:
- * We can **accept** feelings without **condoning** actions. Actually, after negative feelings are expressed freely, positive feelings tend to follow and the person sees the other person more realistically.
- * Expect ambivalence, confusion, and evasions. It is frequently hard to put a problem into words, particularly to a stranger. It can't be done just because someone tells us to do it. Be patient.

IV. SUMMARY

This is not a comprehensive list of do's and don'ts. Any of the foregoing rules may be broken on occasion for **cause**. If you are aware that what you are doing isn't working, try something else.

Being human, you will "blow" some interviews. So we just keep trying and learning. Remember, progress, not perfection.

INTERVENTION WORK SHEET/SCRIPT

1. Review the history of the work problems.

Start with – “I value you as an employee and am concerned about some changes I have observed. I have noticed....(review the information on the Documentation Worksheet).

“You are an integral part of this company/organization. When you (state problem(s) again), it (state specific impact on others/organization).”

2. Ask for reasons and listen openly to the explanation, including personal concerns.

“I am sorry to hear about that....”, but (move to #3)

3. Indicate that the situation must change and ask what the employee can do to solve the problem.

“You need to understand the performance issues I have outlined. Let’s talk about some ways you can change these job problems”.

4. State the consequences if work problems continue.

“We need to discuss what the next step will be if these problems continue”.

“What can we (supervisor and organization) do to assist you with these issues?”

5. Discuss each realistic idea and offer recommendations. Remind the employee that HelpPeople is available by calling (315) 470-7447 or 1-800-777-6110.

“The EAP is a free, confidential service that can assist employees in meeting job expectations”.

6. Record specific actions to be taken and set a follow-up date.

“We’ll meet next week (or other time frame) to see how things are going”.

TERMINATION

Even the best Supervisors have a hard time informing employees of a lay-off or termination. Here a few tips to help make it a bit easier:

- A. ***Practice*** questions and your answers and rehearsing your message will make the meeting go smoother.
- B. ***Pick the right day.*** Mid-week is best, preferably in the morning because it allows time to clean out desks and say goodbyes. By the following Monday, most will be ready to move on. Of course, if the termination is for an immediate egregious act, you must respond quickly, and choosing the day may not be an option.
- C. ***If possible, deliver the message in the person's office.*** This allows you to control your exit and allows the terminated individual to remain in his own environment.
- D. ***Begin by announcing you have bad news, then state the facts.*** Then stop and be prepared to tolerate the silence for a couple of beats. If you are still talking after five minutes, you are probably getting yourself into trouble. Answer any questions honestly and carefully, but make sure that the decision is not subject to debate.
- E. ***Refer the individual to the human resources department for information regarding benefits, severance pay and other relevant information.***
- F. ***Stop the rumors*** by communicating directly and promptly with the employees that will be most affected by the change.

TYPES OF REFERRALS

Employees may gain access to HelpPeople in three ways: through a formal, informal or mandatory referral.

Formal Referral

A formal referral is one based upon a decline in job performance and is made by the employee's Supervisor. This may be the case when the employee's job performance does not improve despite routine Supervisor intervention and/or progressive disciplinary action. In such cases, the Supervisor may make a referral to HelpPeople on the employee's behalf. The referring Supervisor will be informed if the employee is participating and making progress **once the employee has given written consent**. Of the employees referred, 5-10% are suggested/formal referrals.

Informal/Self Referral

An informal referral is one made prior to the development of any job performance problem. The employee may refer himself or herself, or a concerned other may suggest that the employee seek assistance from HelpPeople. This might be an employee's co-worker, friend, family member or Supervisor. No information will be released in the case of an informal referral unless the employee requests otherwise. Of all of the employees seen, 90-95% of them are self-referrals.

Mandatory

A mandatory referral is one that results from an employee receiving a positive drug/alcohol test that was administered according to Department of Transportation regulations. The employee is referred to HelpPeople by the Medical Review Officer and/or company liaison that represents the employer. The Medical Review Officer and/or company liaison will be informed (with written consent) of the evaluation and of suggestions for referral/treatment.

Other mandatory referrals may be implied through specific disciplinary procedures.

SUPERVISOR EXPECTATIONS OF THE EAP REFERRAL

A. A Supervisor has the right to *expect good performance* from an employee.

B. This includes *the right to inform the employee when certain behaviors affect his or her ability to perform his or her job.*

C. Supervisors have the right to ask HelpPeople for advice. Remember:

- It is not an admission of any failure on my part as a Supervisor. On the contrary, it's good management. When I need a specialist - whether it's to fix a typewriter, program a computer or paint a wall- I get one. Helping a troubled employee is one of those times. Letting professionals do their job is a part of my job.
- Seeking advice doesn't commit to anything. The decisions I make will remain mine. The advice I receive will be just that - advice, but it will be professional advice.
- It is confidential. What I say will not be passed on to my employee, my Supervisor, or anyone else.

D. As a Supervisor, I'm entitled to the following services from the HelpPeople Program:

- A patient, understanding, and professional person who will listen to the problems with and feelings about the employee I supervise.
- Assistance in working out those problems and feelings in a productive way, so my employees can all do their jobs and I can do mine.
- Guidance in documenting performance and behavior problems.
- Guidance and support in confronting an employee about job performance and behavior problems, when this is necessary.
- Competent and professional assessment and referral of employees I send for help.
- Follow-up with treatment resources to determine whether employees are receiving the services promised and whether they are following the prescribed treatment programs, assuming appropriate releases have been signed.
- Follow-up with me, to the extent permitted by confidentiality regulations.
- Continued assistance, as necessary, to the employee and to me in readjusting to a productive work relationship.

All About HelpPeople

What is HelpPeople?

HelpPeople is an employee assistance program offered as a service to all of your organization's employees and their dependents. HelpPeople provides free, professional and confidential problem-solving assistance for personal problems and issues that adversely affect job performance and/or personal well being. HelpPeople also provides a performance management tool for Supervisors/labor representatives to assist troubled employees.

Purpose and Objectives of HelpPeople

HelpPeople represents an expression of human value as well as concern for cost-effectiveness. It is also concerned about the health and well being of all employees and offers a mechanism for the early identification and treatment of personal problems and issues. It provides a formal mechanism for assisting the troubled employee. It replaces the previous unwritten policy of either toleration or termination, both of which are costly in human and economic terms. The goals of the program are to identify problems early and motivate the employee to seek help. And because 10-20% of the workforce is affected by personal problems, HelpPeople's impact can be tremendous when appropriately utilized.

Benefits of HelpPeople

HelpPeople provides many benefits to both those who sponsor it and those who use it. This includes all employees, Supervisors and the organization. Some of the benefits include:

For the Employee

- Improved physical and mental health
- Improved family relationships
- Improved job performance
- Enhanced job security
- Realization of their worth to the organization

For the Supervisor

- Fewer job performance problems
- A mechanism for dealing with difficult job performance problems
- Satisfaction through extending help to troubled employees
- Alleviation of feelings of anger and frustration

For the Organization

- Reduction in costs of: replacement, absenteeism, and health care benefits
- Improved productivity
- Fewer accident and benefit claims
- Retain valued employees
- Improved job performance

Organization Philosophy

This organization's philosophy reflects both an open-mindedness regarding personal problems and an unwillingness to compromise on job performance. HelpPeople provides a mechanism by which troubled employees can resolve their problems either before job deficiencies develop or before job security becomes seriously threatened. The philosophy also reflects the belief that personal problems and illnesses can be resolved when identified early and when help is made available. And because the organization does not want to intrude into the personal lives of its employees, the HelpPeople counselor will keep information strictly confidential.



COMMON REASONS FOR ACCESSING HelpPeople

The following may be problems that you are faced with or they may be issues that you would like to receive information on:

Anxiety and panic
Blended families
Budgeting and credit problems
Child development
Conflicts in relationships
Daily life stress due to multiple responsibilities
Depression
Divorce
Domestic Violence
Eating Disorders
Eldercare

Family and parenting issues
Gambling
Grief and loss
Health/wellness issues
Internet addiction
Learning how to develop assertiveness skills
Legal referrals
Life changes
Marriage separation
Misuse of alcohol and drugs
Physical or sexual abuse



Single parenting
Smoking cessation
Stress associated with special needs family members
Stress management
Values clarification
Working families
Workplace change

HelpPeople POLICIES

Confidentiality

Confidentiality is one of the most important aspects of HelpPeople. Information will be kept strictly confidential and released only when written consent has been obtained. Confidentiality must be protected for the following reasons:

- Legal requirements
- Ethical and humane concerns
- Employee trust

Confidentiality must be broken if the client:

- is a danger to him/herself
- is a danger to an identified other
- discloses information about child abuse

In the case of formal Supervisor referrals, the Supervisor will be informed **only** whether the employee is participating and making progress **once a release has been signed**.

Job Security

Participation in HelpPeople will threaten neither job security nor future promotional opportunities. Job performance will be the only factor affecting job security and will continue to be handled within established personnel procedures. In cases where a job performance problem due to underlying personal difficulties exists, participation in HelpPeople will often enhance job security.

Cost

The services of HelpPeople are provided cost-free by the organization to all employees and their dependents. In cases where a referral is made to an outside community resource, the employee's insurance may cover all or part of the costs. Some resources, such as self-help and support groups are free, while many others are available on a sliding scale basis. When necessary, HelpPeople will help the employee to locate resources that he or she can reasonably afford.

Hours

HelpPeople is available from 8:30 a.m. - 5:00 p.m., Monday through Friday. Evening hours are available by appointment, Monday through Thursday up to 7:30pm and may differ if working with a HelpPeople affiliate that is located outside of Syracuse. The HelpPeople counselor can be reached at (315) 470-7447 or 1-800-777-6110 (outside Syracuse). Employees should use the services during "off" hours or during working hours if the Supervisor and staffing requirements permit.

SERVICES PROVIDED BY HelpPeople

Assessment and Referral

When an employee comes to HelpPeople, he or she and the counselor will identify the problem(s) and outline steps towards its resolution. In some cases, this may involve referral to outside community resources with expertise in the specific problem area.

Short-Term Counseling

Short-term counseling (limited additional sessions) is available through HelpPeople when deemed appropriate. Short-term counseling will be provided by affiliate HelpPeople counselors for individuals located outside the Syracuse, NY area.

Follow Up

Follow up services will be available to employees and Supervisors (in the case of formal referrals). The HelpPeople counselor will periodically contact the employee to determine if he or she is satisfied with a community resource when a referral has been made. The counselor will also be available if further assistance is necessary. When a Supervisor has made a formal referral on an employee's behalf, the counselor will inform the Supervisor whether the employee is participating and making progress **once** written consent has been obtained from the employee. HelpPeople will also stay in contact with the community resource to determine how the employee is progressing and be available for assistance whenever necessary.

Consultation

HelpPeople will provide consultation to Supervisors in the following areas:

- A. When to make a referral on an employee's behalf.
- B. How to document performance problems.
- C. How to constructively intervene and refer an employee.
- D. Reintegration of an employee into the workplace.
- E. Further information concerning the program.

Consultation will also be available to employees and family members for those times when a brief discussion with a counselor is all that is necessary. Others who want to help an employee or co-worker may also receive assistance from HelpPeople.

Educational Literature

Individuals may request information on any mental health related topics or issues that affect personal well being. Literature is typically mailed to employee's homes.

SERVICES PROVIDED BY HelpPeople (continued)

Web Site

Individuals may access our web site at www.helppeople-eap.org. There you will find information for Supervisors and employees. There you will also find the dates of Supervisor trainings that are available to anyone covered by HelpPeople and offered at the Crouse Marley Education Center.

Training

HelpPeople provides training to Supervisors on how the program works and how to use it to assist troubled employees.

Employee Orientation

Orientation sessions will be provided to familiarize all employees and their dependents with the program and to answer their questions.

Your organization (Human Resources) has been provided with a six minute HelpPeople orientation video and script for you to use with new employees in your department. Please contact them for more information.

