

Work Performance Referrals Handbook

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**MINES
& ASSOCIATES**

A National Business Psychology Firm

Work Performance Referrals

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Work Performance Referral overview

The majority of referrals to the EAP/MAP (Employee Assistance Program/Member Assistance Program) are voluntary. Voluntary self-referrals choose to access the EAP/MAP. Employers or unions may refer employees or members to the EAP under a Work Performance Referral (WPR). WPRs occur when an employee’s or member’s work performance is of concern, or the employee or member is not functioning in their role adequately. Other pathways for the referral could be that the employee or member has failed a drug screen. A WPR is a tool that the employer or union can use to give the employee or member an opportunity through counseling to address any personal issues that may help them meet the work expectations. There are a variety of reasons why a WPR might be initiated; for example, this could range from them being tardy too often because they are taking care of elderly parents, the person reported suicidal thoughts or urges, having self-disclosed that they have a substance use problem, or due to failure to meet the company’s requirements around their drug/alcohol policies.

Typically, there are two types of WPRs: one is a job performance or mental health WPR, and the other is a substance abuse WPR. Both have similar processes in which the MINES Clinical Case Managers are connecting the employee or member to a provider to be seen and evaluated to resolve the work performance issues. The only difference between the two types is that the substance use WPR will require a substance use disorder assessment and the employee or member may need to be sent in for unannounced/random drug screens for a determined amount of time.

Some employees or members may be accepting of, ambivalent, or upset for being referred as a WPR client. MINES is dedicated to helping the employee or member to resolve their work-related issues, while also reporting back to the referring employer or union about the employee's or member's compliance in the process. MINES helps the employee or member meet the workplace expectations for work performance. Regardless of whether an employee or member follows through on a WPR, the employee or member is still accountable for improving their work performance. A WPR does not exempt them from the progressive discipline process.

Substance Use WPRs

These referrals are typically the result of a failed drug/alcohol test. The employer or union in these cases have a protocol to refer the employee or member as a WPR in order to get help and address the substance use violation. **When there is a request for an assessment with these types of referrals, there is not an expectation to do a complete formal assessment unless notated in the request. There is no additional payment for any assessment completed unless otherwise notated.** The purpose of the referral is for the provider to assess the nature and extent of any potential substance use problem and recommend appropriate treatment. This could range from an assessment that shows there is no diagnosable substance use problem, to outpatient counseling using the employee's or member's allotted WPR sessions, or even escalation to a more structured level of care.

Drug/Alcohol Testing Process

Random drug/alcohol tests can range from a couple of months to five years depending on the nature of the problem and the employer's or union's policies. If the employee or member reports a concern over these unannounced drug screens, you can help them understand that it is the best way to show their employer or union that they are staying clean and sober. The employee or member pays the testing fees, not the employer. If the provider wishes to know the results of the unannounced drug screens, please ask the Clinical Case Manager assigned to the WPR. The provider is not required to conduct tests or determine the frequency of the random tests as the Clinical Case Manager will be managing this as part of the WPR.

Examples of Common Substance Use Referrals

- Positive test for THC
- Post-accident test for cocaine
- Reasonable suspicion test for alcohol
- Self-report of an alcohol problem
- Follow up from FMLA/Leave for substance use treatment

Mental Health/Job Performance WPRs

These WPRs are similar to the Substance Use WPRs in some areas. Typically, the WPR form will include examples of the concerns that created the referral. In some cases, the employer or union may have furnished additional information or history which will also be provided with the WPR form. It is up to the

provider's professional judgment as to how much of this information to share with the employee or member. In some cases, the MINES Clinical Case Manager may ask the provider to not share some of this information with the client, as this information is to help the provider develop a treatment plan or recommendations. In addition to addressing the concerns raised in the WPR form, a basic substance use screening is expected to assess if this may be part of the work performance concern. In most cases, no random drug/alcohol testing occurs.

Examples of Common Mental Health/Job Performance Referrals

- Inappropriate behavior at work-e.g. anger outburst
- Poor teamwork with coworkers
- Problems with customer service
- Failure to meet deadlines
- Concern about mood instability
- Erratic behavior
- Help in meeting performance plan
- Frequently or consistently calling out or late to work

Communication

MINES Communication

No matter the type of WPR referral, the MINES Clinical Case Managers are responsible for communicating the employee's or member's compliance through the WPR process. The Clinical Case Manager will be in communication with the employee or member, the provider, and the client's employer or union. We will receive a WPR form from the employer or union which details expectations, the reason for the referral, and that form is signed by the employer's or union's representative and the employee or member. This gives us a release of information to report back compliance to the employer or union. This form will be sent to you by the Clinical Case Manager for review along with any additional expectations of the referral (i.e., whether we are asking the provider to assess and recommend treatment course or whether the employee or member is expected to attend the number of EAP sessions allotted in the benefit plan). The employee or member has signed the form so the employee or member should be aware of the behaviors resulting in the referral.

Provider Communication

It is essential that we get regular updates from the provider as to completed sessions and next scheduled sessions as well as any progress and/or concerns. If there are any concerns, the provider should always contact the MINES Clinical Case Manager to discuss. **The MINES provider should never be in contact directly with HR or the union representative during this process.**

Provider Process

There are several steps to the WPR Process that the provider will be a part of. After MINES has received the request to start a WPR, a MINES Clinical Case Manager will start the process of outreaching providers to see who are available for the assessment and treatment for the WPR. Once a provider has been located, the employee or member will be connected to the provider. The sections below outline what the emails and steps may look like.

Outreaching Providers

The MINES Clinical Case Manager looks within the MINES EAP Network to locate providers that have the expertise to assist with a given client's specific needs. The MINES Clinical Case Manager will outreach these providers to check for availability and interest for that referral. The expectation is that the provider will be able to get the client in for the initial session within one week of the request. There are two different types of emails that the Clinical Case Manager will send out; please review the below example of a Substance Use WPR. If it is a Mental Health/Job Performance Referral, it will state as such in that second sentence.

Sample Template 1:

Hello <<Name>>,

My name is _____, and I am a clinical case manager at MINES and Associates. I am reaching out to see if you would be available and interested in working with a Substance Use Work Performance Referral (WPR). WPRs happen when an employer has required that an employee receive an assessment and complete any treatment recommendations that come from that assessment. There is not a particular assessment required, please use the assessments that guide your practice.

If outpatient therapy is the only recommendation, then the employee is required to complete counseling sessions that your assessment recommends and are limited to the organization's EAP session model, the first session's assessment is included in the number of sessions.

Please let me know if you would like to work with us on this case and I will be happy to chat with you about the details.

Take care,

Connecting to Client

Once a provider has accepted taking the referral, the MINES Clinical Case Manager will refer the employee or member to the provider to schedule. The provider will receive a **secure email** outlining the expectations on the WPR and what is needed in the report back to the Clinical Case Manager. If a secured email has not been received within a day of the confirmation of the referral, please contact the Clinical Case Manager. Please remember that there are two different emails for the distinct type of WPR, where the expectations are different.

Sample template 2:

Hello <<Name>>,

Thank you for your assistance with this Work Performance Referral (WPR). This client is required to schedule and attend an initial assessment with you, then follow your substance use treatment recommendations in order to rectify the workplace issue(s) detailed in the referral form which I will send via secured email shortly. There are <<#>> sessions to be used to assess, treat, or refer this client to the proper substance use treatment. The initial assessment will count as one of these sessions. The client (and/or his or her insurance carrier) will be responsible for any and all costs associated with clinically necessary treatment beyond what MINES has authorized, such as intensive outpatient programs or more structured levels of care.

As a WPR affiliate, you are not required, nor authorized, to have any contact with the client's employer. We ask that you update the MINES Case Manager (me) immediately following each session on the following points:

1. **Date of session:**
2. **Did the employee/member attend the scheduled session? Yes/no**
3. **Session content/assessment of progress:**
4. **Recommendations for continued treatment:**
5. **Additional problems/concerns:**
6. **Date/time of next scheduled session, if applicable:**

The initial session must include a comprehensive substance use/dependence assessment. We do not require a specific assessment for the initial evaluation; please use what assessment tools you use in your practice to guide this evaluation. This information may be provided via voicemail, e-mail, or fax. **If sending via e-mail, please omit the client's full name, only use their first name.**

MINES Case Management will communicate to the employer. The information reported back to the employer is about compliance in treatment and your recommendations.

Please contact me at any time with questions or concerns and direct the client to do the same with any questions related to this Work Performance Referral.

Thank You!

During Authorization/WPR process

The provider may be asked to assess the need for counseling in the initial session(s) or assess risk for return to work. This is not a formal Fitness for Duty but merely to rule out safety concerns in the provider's professional opinion. The provider will be asked to counsel the WPR for a certain number of sessions with a specific goal in mind. Please feel free to consult with the MINES' Clinical Case Manager along the way.

After the requirements and session expectations have been reviewed, the MINES Clinical Case Manager will need the provider to report back after each session, including any missed or canceled appointments and/or any specific concerns about the WPR. With most of these referrals, the MINES Clinical Case Manager is only reporting compliance with the referral process and the above information is what we

need. The Provider is recommended to use the template below to keep the MINES Clinical Case Manager informed so that they can report back compliance to the employer or union.

Reporting Template

1. **Date of session:**
2. **Did the employee/member attend the scheduled session? Yes/no**
3. **Session content/assessment of progress:**
4. **Treatment recommendations/requirements (i.e., continue with WPR sessions, seek supplementary treatment, etc.):**
5. **Additional problems/concerns:**
6. **Date/time of next scheduled session, if applicable:**

In some rare cases, there are complexities with these cases that require a more comprehensive release of information (ROI). The MINES Clinical Case Manager will work with all parties regarding ROI and what is needed for the WPR.

Concluding the WPR

After the WPR is completed, the provider will inform the MINES Clinical Case Manager that the final session occurred.

Once this notice has been received, the MINES Clinical Case Manager will outreach the employer or union to make sure the case can be closed. There may be some further expectations requested by the employer or union which would then be relayed back to the provider. However, in most cases, the WPR case can be closed. At that point, it is up to the provider and employee or member to determine if the episode of treatment should be closed or if the employee or member would like to utilize their EAP or MAP sessions. If EAP or MAP sessions are utilized, these are no longer reported to the referrer. The employee or member may choose to use their sessions with the provider that saw them during the WPR process or request a new provider that fits their needs. The client will need to contact MINES to request an authorization.

Conclusion

If you have any questions about this process or expectations, please contact MINES Provider Relations at 800-873-7138 or email providerinfo@minesandassociates.com.

