NAME: SEAP SUPERVISOR- MANAGER SESSION

AUDIENCE: ALL SUPERVISORS, MANAGERS, UNION OFFICIALS

TIME: TWO HOURS (without video and activities/exercises)

THREE HOURS (with video and all activities/exercises)

SESSION

DESCRIPTION This session is designed to:

* Define enabling behavior.
* Define performance based intervention.
* Discuss how supervisors and union officials can use SEAP resources to effectively manage impaired employees.
* Identify specific situations when SEAP intervention is appropriate.
* Identify specific methods of SEAP intervention.
* Discuss the Condition of Continued Employment and its use.
* Familiarize supervisors and union officials with the issue of higher risk behavior.

TRAINING

METHODS: Large group interaction, lecture, small and large group

discussion, small group work, Power Point slides/overheads, handouts, flip charts, video.

TRAINING

AIDS: • Blank name tags (used in Appendix 1)

* Newspaper/magazine articles (used in Appendix 3)
* Enabling – The No-Win Game of Addiction (Appendix 5 – place in participants’ handout materials)
* SEAP Supervisor’s Guide (Appendix 6 – place in participants’ handout materials)
* Management Directive 205.33 (Appendix 8 – place in participants’ handout materials)
* Blank flip charts or board (used in Appendix 9)
* Prepared note cards (used in Appendix 9)
* Quotations to be posted around room (Appendix 10)
* SEAP for Supervisor and Managers video and video player
* Power Point slides/handouts (slides may also be reproduced as overheads or flipcharts)
* SEAP brochures/wallet cards (place in participants’ handout materials)

LEARNING

OBJECTIVES: • Be able to identify enabling behavior, and demonstrate an

understanding of why and how enabling behavior occurs.

* Demonstrate an understanding of the principles of performance based intervention and how to apply them.
* Demonstrate an understanding of when a Condition of Continued Employment is appropriate, and how to execute one.
* Develop an awareness of higher risk behavior, and articulate what their role is in its identification.
* Recognize situations where on-site services would be appropriate.
* Be familiar with the special requirements that cover certain licensed professionals. (dependent upon agency)
* Demonstrate an understanding of how to utilize the various services available through SEAP to manage employee performance and behavior.

PP Slide 1

* 1. ICEBREAKER (optional activity)

Choose one of the two icebreakers provided in the appendices.

**Appendix 1 •** Personal Logos

**Appendix 2 •** Human Scavenger Hunt

* + 1. OBJECTIVES

PP Slide 2

* + - 1. Before we get started today, let’s take a moment to review what we hope you’ll gain from this training.
      2. By the end of this session, we hope that you will be able to:  
         1. Identify enabling behavior.
         2. Apply the principles of performance based intervention.
         3. Recognize when a Condition of Continued Employment is appropriate, and know how to execute one.
         4. Recognize and know how to respond to employees displaying higher risk behavior.
         5. Know how to determine when on-site services through SEAP would be appropriate.
         6. Know how to utilize the various services available through SEAP to help you manage employee performance and behavior.

Use only if agency has 7. Be familiar with the special requirements that cover

licensed professionals certain licensed professionals.

1. MOTIVATOR (optional activity)

Choose one of the two motivators provided in the appendices:

**Appendix 3 •** Reading Material

**Appendix 4 •** Visual Impact of the Need for SEAP

1. **SEAP VIDEO (optional activity - the placement is also optional here – the video can also be shown at the end of the training course)**

**Introduce video**

To introduce you to your role as a supervisor in the SEAP program, we are going to watch a video. This video is about real situations (using actors) where supervisors used the services available through the SEAP program to assist their employees. As you’re watching, think about situations that you have encountered that were similar.

1. ENABLING BEHAVIOR

**PP Slide 3 - title**

1. Supervisors are charged with obtaining satisfactory performance and appropriate behavior from their employees.  
   * + 1. It is therefore important to understand how supervisors actions may impact on the behaviors of an impaired employee.
       2. How many of you are familiar with the term “enabling”?

# Ask for show of hands

How many of you think it has some to do with alcohol abuse? Substance abuse? Other things?

**Ask for show of hands**

You are all correct!

# Appendix 5

* + - 1. Included in your training materials is a handout entitled “Enabling – The No-Win Game of Addiction”. This is a well-written article by an EAP (employee assistance program) consultant, which I encourage you to read later and keep handy whenever you have a question about enabling.

1. What is enabling?

**PP Slide 3 - text**

* 1. Enabling is any action, or inaction, that allows an individual to continue to engage in negative or inappropriate behavior.  
     1. Any person can be an enabler – a family member, co-worker, supervisor, or union steward.
     2. We will concentrate on enabling that occurs in the workplace by supervisors.

1. From a treatment perspective, enabling is a critical issue in terms of the employee’s recovery.  
   * + - 1. Individuals must develop an internalized awareness of their problems before they will take any significant action to deal with their issues.
         2. This means they must experience the negative consequences of their behavior.
         3. To shield them from this experience is not doing them a service, because it allows them to continue to deny that there is a problem.
2. From a supervisory standpoint, to ignore or allow inappropriate behavior to continue in the workplace can have broad consequences.

Obviously, it allows the employee to continue in the inappropriate behavior.

It also sends the message to others that the supervisor condones the behavior.

Additionally, the negative outcomes caused by the behavior go unaddressed.

Examples of Enabling Behavior by Management.

**PP Slide 4 - title**

1. Can you name some examples of the kinds of behaviors that supervisors might engage in that would constitute enabling?

**Ask class for answers**

1. Those are good examples. In addition to those, how about the following *(omit items already identified by class).*

# PP Slide 4 - text

* + - * 1. Overlooking lateness or absences.
        2. Accepting excuses for continued negative performance.
        3. Doing work for the employee, or reassigning the employee’s work to others
        4. Covering for the employee, especially in situations related to substance abuse.
        5. Providing personal counseling to employees for personal problems, or getting personally involved in those problems.

Supervisors must be careful to draw a line between being a concerned listener and manager, and attempting to diagnose or resolve the employee’s problems.

**Remember**: you are paid to function as a supervisor and to evaluate your employee’s performance, **not** to practice as a clinical therapist.

Not holding employees accountable for poor and ineffective work performance.

Making special arrangements for employees who are not performing up to expectations.

1. Why Do Supervisors Enable?

# PP Slide 5

1. What reasons do you believe that supervisors engage in enabling behavior?

**Ask class for answers**

1. Again, you have come up with good examples. Let’s look at them in a little more detail, and perhaps list a few more examples*.*
   * + - 1. The employee is emotionally manipulating his/her supervisor.

By creating sympathy for themselves, employees can continue in their negative behavior without fear of reprisal.

Let’s look at an example – we’ll look at Bob Jones, a fictional supervisor, and Amy Miller, his manager (who is also fictional). Bob recently lost his wife to cancer and is grieving this loss. Bob starts to drink heavily. Many mornings, Bob is late for work. Bob is also taking long breaks and lunches, and Amy thinks she has smelled the odor of an alcoholic beverage on Bob’s breath several times when he returned from lunch. Bob’s work begins to deteriorate, and he has missed several important deadlines. When Amy speaks to him about these performance issues, Bob asks her how she can even think about talking to him about his performance; after all, he just lost his wife to cancer. If Amy accepts this excuse, she is enabling.

The supervisor has a personal friendship with the employee, and is afraid of damaging that friendship by confronting the employee.

The employee plays on that friendship to enable continued negative behavior.

Let’s look at that discussion that Amy Miller is having with Bob Jones again. Bob may be saying things to her like “If you were really my friend, you wouldn’t be bugging me about this”, or “You’re my friend and you know how hard I am trying to control my drinking.”

There are several fallacies in this thinking, not the least of which is that if the employee was a true friend, he/she would not jeopardize the relationship or use the supervisor for personal gain.

In terms of addiction, this is an important point to understand. Individuals who are actively abusing drugs or alcohol, when confronted with the dilemma of having to choose between losing something of value, or jeopardizing losing their drug of choice, will almost always protect their addiction, even to the point of risking their marriage, their family, their health, and even their dignity.

That concept is so important that I will repeat it. Individuals who are actively abusing drugs or alcohol, when confronted with the dilemma of having to choose between losing something of value, or jeopardizing losing their drug of choice, will almost always protect their addiction, even to the point of risking their marriage, their family, their health, and even their dignity.

The supervisor reasons that if he/she ignores the problem it will go away.

* The supervisor may attempt to rationalize by stating that the problem is only temporary.
* The supervisor may reason that the employee has never been a problem before, so he/she will take care of it him/herself.
* The fallacy in this thinking is that if it’s a serious problem, it rarely gets better without intervention.
* By ignoring the problem the supervisor is putting the workplace at risk. The supervisor’s credibility also comes into question.
* By ignoring questionable and inappropriate behavior, the supervisor is enabling.
  1. The supervisor may feel that addressing or confronting the problem will damage the employee’s career.
     + Remember, SEAP referrals are confidential - no information is recorded in the employee’s file.
     + The supervisor is not responsible for another employee’s behavior or career. Supervisors are, however, responsible for the productivity of the agency or bureau, and the safety and security of the workplace.
     + The supervisor is not responsible if an employee acts out inappropriately, BUT a supervisor can be held responsible for the **consequences** if such behavior is ignored and allowed to continue.
     + In terms of addictive behavior, the need for employees to confront the consequences of their behavior is **key** to them coming to terms with their problems.
     + By assuming responsibility for the employee’s career, the supervisor is enabling.
       1. The supervisor may feel that he/she is being helpful and supportive in his/her efforts.  
          - It is natural and human to want to help someone else.
          - One of the first ways that we often try to assist others is by relieving them of some of their responsibilities.
          - In the case of an impaired employee, making allowances for the employee and taking away some job responsibilities is not helpful, for it allows the employee to continue the inappropriate behaviors and allows him/her to continue to deny that there is a problem.
          - By attempting to be helpful in this fashion, the supervisor is enabling.

**PP Slide 6**

* + - 1. Consequences of Enabling.

**Ask class for answers**

* + - * 1. What do you see as some of the consequences of enabling behavior for the employee?  
           For the workplace?   
           For supervisors themselves?
        2. Those are good examples. In addition to those, how about the following consequences for the employee *(omit items already identified by class).*

# PP Slide 7

What do think will happen if an employee’s behavior is allowed to continue unchecked? The situation will only continue to escalate.

What do you think will happen if the employee’s personal issues go unresolved? Those issues will only get worse and will become increasingly burdensome.

What about the potential for serious outcomes? That potential will increase.

For the worksite *(omit items already identified by class):*

**PP Slide 8**

1. What if the supervisor shifts the employee’s workload to others? Co-workers may become resentful and have an increased stress level.
2. Do you think that interpersonal problems with other employees may be created?
3. What will the behavior do to the worksite? The behavior most likely will continue to disrupt the worksite and create new problems.
4. What about morale? Morale may decrease.
   1. For the supervisor *(omit items already identified by class.)*

**PP Slide 9**

* + 1. What will happen to the supervisor’s credibility? It may be compromised.
    2. What will the effect be on the supervisor’s job? It will become more difficult to do an effective job, and the situation will only continue to become increasingly complex and difficult to deal with.
    3. Labor-management problems may be created because of special treatment the employee is receiving.

1. PERFORMANCE BASED INTERVENTION

**PP Slide 10**

* 1. Since we recognize that inappropriate behavior and performance cannot be allowed to continue, and that enabling behavior on the part of supervisors does not help, what can supervisors do? That’s where performance based intervention becomes a useful tool for a supervisor.
  2. Supervisors, managers and union stewards have traditionally recognized the relationship between deteriorating job performance and discipline.  
     1. The progressive disciplinary process used by the Commonwealth is based on the premise that the longer a behavior or performance problem continues without being corrected, the more severe the consequences should become.

**PP Slide 11**

* + 1. You’re all familiar with the range of available actions under progressive discipline, which includes:  
       1. Corrective counseling.
       2. Verbal and written reprimands.
       3. Various lengths of suspensions.
       4. Termination from employment.
          1. Of course, this process also includes due process and pre-disciplinary conferences (PDCs). And as always, you should consult with your agency labor relations specialist on disciplinary actions.
       5. Performance Based Intervention through the use of SEAP

**Ask for show of hands**

How many of you believe that discipline alone will be sufficient for an employee with personal problems outside the workplace to improve his/her performance or behavior?

The process of progressive discipline works when the employee you are dealing with is responsible and in control. **When an employee is not in control, progressive discipline does not work**.

Personal problems are progressive in nature, and without some type of intervention generally do not improve.

Personal problems can begin to impact an employee’s work performance and behavior.

The services available through the SEAP program are designed to assist employees in addressing their personal problems, and returning to acceptable functioning at work.

Intervention should be initiated in the early stages of a problem or when the supervisor first identifies that there is a performance or behavior problem, for the greatest degree of success.

**PP Slide 12**

There are six levels of SEAP intervention that are progressive in nature. Information about the levels of SEAP intervention can be found at page 16 of the SEAP Supervisory Guide. The levels are:

# Appendix 6

* + - * 1. Awareness.
        2. Suggestion.
        3. Recommendation.
        4. Strong Urging.
        5. Requirement - through the use of a Condition of Continued Employment (COCE).
        6. Termination.

Most employees will not require intervention by the supervisor or union steward.

Every employee has their good days and their bad days.

This is natural and does not require intervention.

The first level of intervention should begin when a pattern of performance, **over a period of time**, begins to drop to the pointwhere the supervisor becomes concerned, even if the performance is above standards.

Each level of intervention consists of the same five steps. Information on the steps can be found at page 20 in the SEAP Supervisor’s Guide, which is included in your handout material.

**PP Slide 13**

1. The five steps contained in an effective intervention are designed to help the supervisor stay focused on performance and job-related factors, rather than the personal life of the employee. We will look at each of the steps in turn.

#### **PP Slide 14**

1. Step One – Identification of an impaired employee.
2. Please turn to page 61 in the SEAP Supervisor’s Guide and take a look at the “Identification Checklist”. Also look at page 20, where some narrative information on identification of an impaired employee is located.
3. In order to determine if a possible impairment is causing the employee’s behavior or performance problems, a supervisor should review the following:

* Is the employee properly trained and qualified to do the job?
* Have all work-related factors beyond the employee’s control, such as equipment problems, been addressed?
* Is the employee aware of the standards regarding performance and behavior that are expected of him/her?
* Has this been a persistent pattern of poor or marginal performance?
* Did the employee ever function at an acceptable level?
* Have you repeatedly warned the employee about their performance and/or behavior?
* Have you had to provide frequent assistance or closely supervise the employee?
* Does the employee understand what needs to be corrected for their performance or behavior to be acceptable?

1. If you answered “yes” to each of the questions, then the problem may be personal, not job related, and intervention through SEAP may be helpful.
2. Please turn over your SEAP Supervisor’s Guide. There is a consultation number listed, which we’ll talk more about later in this session. For now, just remember that if you believe that you are dealing with an impaired employee, you can call that number for assistance.
3. If you answered “**no”** to any of the questions, then that is an indication that the employee may not be impaired. The best response is to address those issues for which the answer to the question was “no”.

**PP Slide 15 - title**

1. Step Two – Documentation
2. Please look at page 21 in the SEAP Supervisor’s Guide. Whether or not you are dealing with an impaired employee, good documentation is essential to supervision. Good documentation is the basis for employee performance reviews, discipline, and good work practices.
3. The benefits of documentation:

* Documentation is essential to have in the event that the employee does not improve. It will show the pattern of performance or behavior and the supervisor’s efforts to assist the employee.
* Documentation provides objective evidence to use to constructively confront the employee.
* Documentation can serve as a tool to penetrate an employee’s defense mechanism of denial. When faced with specific, objective documentation, an employee is less likely to argue or deny that a problem exists.

1. Can you name some things that you should document?

**Ask class for answers**

**PP Slide 15 – text •** Those are all good examples of the four categories to document - Who, What, When and Where. (*if class hasn’t provided any answers, suggest the following*: the exact time that the employee arrived to work, what specifically was wrong with the work product the employee turned in, how long did the employee remain away from the work area, what did the employee say to his/her co-worker, etc.)

* Remember to record your documentation while the facts are still clear in your mind.
* Record information factually and objectively. Don’t record feelings.
* A calendar on which you mark “x” to indicate days when the employee’s performance or behavior was at issue may give you a clearer picture of developing patterns.

# PP Slide 16

1. Step Three – Preparing for a constructive interview.
2. Please look at page 22 in the SEAP Supervisor’s Guide. The key word in step three is preparation. Being well prepared for your interview with the employee will increase your comfort level with the situation.
3. Gather all your documentation that you have been recording about the employee (both positive and negative), and review it.
4. Identify the objective information that you plan to discuss with the employee, e.g., the number of times, including dates that the employee has been tardy, or the specific problems with the work that the employee has been turning in.
5. Try to anticipate the employee’s possible reactions to the information that you plan to present, so that you can be prepared to respond.
6. Consider the level of intervention in which you are operating – are you at the awareness level, or the urging level, for instance
7. Have information on SEAP handy – be sure that you have a SEAP brochure and/or SEAP wallet card to give to the employee.
8. You should also contact the union steward and ask him/her to participate. Even though this is not a PDC, when you are dealing with an employee who is possibly impaired, the union’s assistance may be invaluable.

# PP Slide 17 - title

1. Step Four – Conducting the Interview
2. Please look at page 23 in the SEAP Supervisor’s Guide. For most people, this step is the most difficult and anxiety provoking step of the process. Supervisors and union stewards often dread this step, since it is uncomfortable and most people do not like the idea of being told that their performance or behavior is not satisfactory.
3. You probably will have concerns, such as the possible reaction of employee to the interview, the possibility of a grievance being filed, or others.
4. It is important to remember that as the supervisor or union steward, you are in a good position to help an employee. You are close to the situation yet detached from the person. This creates an ideal situation to facilitate the employee’s own realization of the impact and scope of the problem.
5. There are some key principles for conducting a constructive interview (also called a constructive confrontation).

# PP Slide 17 - text

* + Be aware of environmental concerns. It is essential that the meeting be held in a private area where interruptions can be avoided. Try to make the employee feel comfortable. If possible, sit at right angles to the employee, rather than having a desk between you.
  + The primary purpose in confronting an employee is to motivate the individual to improve his/her behavior or performance and to follow through. You should **not** attempt to get an employee to admit or discuss his/her personal issues. If an employee brings up a personal matter, you should be understanding but should not become involved or trapped by what you are being told. Think back to what we said about enabling. You should redirect the discussion by saying something like “while I appreciate that you may be having personal difficulties/issues, our discussion today is concerning your performance/behavior at work.” Then make the SEAP referral. **Remember, if the employee does share personal information with you, that information is confidential, and you cannot redisclose the information without the employee’s consent.**
  + The word confrontation typically has a negative meaning. When we speak about confrontation in performance based intervention, it means to present in a clear and concise manner your concerns or issues regarding an employee’s performance or behavior, using objective information.
  + Everyone expects to be treated fairly, with respect and dignity. Regardless of the behavior involved, the employee should not be scolded or belittled, since this will only increase the employee’s resistance and defensiveness. Try to avoid creating barriers – rather than say “Where was your head when you did that”, say, “Can you explain your reason for what you did?”
  + Many times an employee does not realize that his/her behavior is a problem. In most instances, the unacceptable behavior is symptomatic of a personal problem and may be beyond the control of a person who is not involved in treatment.
  + Make your expectations clear to the employee regarding future behavior and performance.
  + Make a referral to SEAP to the employee. You may even offer to make that call for the employee.
  + Conclude the interview by scheduling a follow-up meeting to monitor the employee’s progress on the expectations that have been discussed.

1. So how do you make that referral to SEAP?

**PP Slide 18**

* Because it is not your job to diagnose what may be wrong with the employee, language such as the following may be used (please feel free to modify it to fit your style).  
    
  **”If personal problems are affecting your performance and/or behavior at work, assistance may be available to you through SEAP.”**
* You should explain the services that SEAP offers, and discuss the program’s confidentiality and that the program is free.
* Give the employee a SEAP brochure and/or wallet card – even if you have given one to the employee before.
* If the employee appears receptive to the idea of seeking assistance, you may offer to place the initial phone call to SEAP for them. Tell the employee that you will tell the intake clinician that you are calling for the employee, that you will give any background information the employee consents to, and you will then hand the phone to the employee and leave the room so that he/she may speak with SEAP in private.

**PP Slide 19**

* 1. Step Five – Follow Through

1. Please look at page 25 in the SEAP Supervisor’s Guide. Follow through and monitoring of progress is essential to performance-based intervention.
2. Remember, the objective of the referral process is to improve job performance and/or behavior, and if this occurs, then participation in SEAP is outside the concern of the supervisor and union steward. **Neither the supervisor nor the union steward should push the employee into disclosing whether they contacted SEAP or not.**
3. By following through and meeting with the employee again, you are sending a clear message that change is necessary, and the employee can no longer avoid dealing with the issue.
4. Remember that most problems do not develop overnight, nor do they disappear that quickly. In monitoring change, the supervisor and union steward should not only observe job performance, but also remain aware of the employee’s attitude and effort on the job.
5. If at any time there is a question on how to respond or provide a referral in a given situation, supervisors are encouraged to talk with the SEAP Coordinator, OA-SEAP or the SEAP Consultation Line.
6. We need to remember that to create a win-win situation that results in a healthy functioning employee who performs at acceptable levels, supervisors, union stewards, employees and service providers must communicate and work together.
7. Constructive interview exercise (optional activity)

**Appendix 7**

Everyone will now have the chance to practice applying what we have just learned about conducting a constructive interview.

**PP Slide 20**

Since we have looked at the five steps that make up an effective intervention, let’s now turn our attention to the six levels at which intervention occurs. The first level is awareness.

**PP Slide 21**

1. Please look at page 17 in the SEAP Supervisor’s Guide. This level of intervention should occur before formal discipline is required.
2. Awareness may occur as part of a corrective counseling session when performance is marginal or just below standards.
3. Awareness also may occur with the best employee when you witness a downward turn in performance that is uncharacteristic of that person.
4. If at all possible, the supervisor should speak directly with employee (the union steward may also initiate this contact).
5. Make the employee aware of the changes in his/her performance.
6. The intent is to avoid future situations that may require the start of progressive discipline.
7. The employee should be made aware that SEAP is available to assist him/her, if personal problems are affecting his/her performance.
8. There is no need for the supervisor/union steward to know if the employee is seeking help through SEAP.  
   1. Let’s consider Bob Jones and his manager, Amy Miller again. When Amy noticed that Bob’s behavior and performance had changed (and that could have been Bob’s tardiness, or Bob’s work performance), she sat down with Bob for a discussion. She told Bob what changes she had noted in his behavior and performance, and that those needed to be corrected. Amy also told Bob that if personal problems were affecting his performance, the SEAP program might be able to assist him.
   2. The following are some suggestions that you can use to create awareness of SEAP among all your employees:  
      1. Provide printed SEAP material to all staff on a periodic basis.
      2. Provide SEAP material in high stress job areas, and after traumatic/crisis situations.
      3. If, due to the sensitivity of the situation, you are not comfortable with approaching the employee directly, providing information to all your employees may be a viable alternative. This is only acceptable at the awareness level, however.

**PP Slide 22**

* + - 1. Second level – Suggestion  
         1. Please look at page 17 in the SEAP Supervisor’s Guide. If the employee fails to correct the performance/behavior issue after the 1st level intervention, the supervisor moves to the 2nd level.
         2. Generally, an employee is now facing discipline at the level of an oral/verbal reprimand.
         3. Unlike the awareness level (where the supervisor may have raised awareness about SEAP by distributing material to all employees), the suggestion level requires a one-on-one discussion with the employee.
         4. There should be a clear focus on the job and performance since the last level of intervention, including what patterns are developing.

**Ask for show of hands**

1. How many of you think that Amy should confront Bob about his use of alcohol, and tell him that she thinks he is an alcoholic?  
   Supervisors should not attempt to make a diagnosis or state that employee has a specific medical or mental health problem.

**Ask class for answers**

1. How could Amy approach Bob about the issue?  
   Amy should inform Bob that she has smelled the odor of an alcohol beverage on his breath, but she should not tell Bob that she thinks he is an alcoholic or has an alcohol problem.
2. The supervisor and/or union steward should become more direct in presenting the SEAP information by explaining the program, suggesting the employee call SEAP voluntarily, and reminding the employee that SEAP may be able to help if there is a personal problem that is affecting his/her work.
   1. In Bob’s case, several weeks have gone by since Amy spoke with him about his tardiness and performance, and Amy hasn’t seen any improvement. If Amy is considering discipline, she must hold a PDC with Bob to discuss what she has observed since they last spoke, and to get his explanation for why his performance hasn’t improved. Because Bob isn’t able to provide any acceptable explanation, Amy issues an oral reprimand to him. This is the point where Amy should provide an explanation of the SEAP program, and should **suggest** that Bob call.
   2. Again, the supervisor or union steward does not need to know if the employee contacted SEAP or if a problem does exist outside the job.  
      * + 1. The supervisor can contact the union steward prior to the PDC to request his/her support and assistance in suggesting the referral, at this and every intervention step. SEAP encourages supervisors and managers to involve the union early in the process. At this meeting, the steward should:

Be made aware of the problems (if the union steward was not previously informed or involved).

Discuss the performance or behavior issues with the employee.

Review discipline procedures and alternatives with the employee.

Point out that continued problems will limit what the union can do for the employee.

Encourage the employee to contact SEAP.

# PP Slide 23

* + 1. Third level - Recommendation
       - 1. Please look at page 17 in the SEAP Supervisor’s Guide. If the employee’s performance and/or behavior still haven’t improved, the supervisor should move to the 3rd level of intervention.

1. The employee is usually now at the disciplinary stage of a written reprimand.
2. Since traditional work-related intervention efforts (in other words, discipline) are not producing the desired changes (in other words, improvement), there is an increased likelihood that other types of intervention, such as would be received through SEAP will be required to restore the employee to satisfactory performance.
3. Therefore, it is now appropriate to more assertively recommend to the employee to call SEAP.
4. Let’s return to the ongoing saga of Bob and Amy. After Bob received his oral reprimand, he managed to come in to work on time for a few days, but he soon slipped back into his old pattern. Bob also began to miss some important deadlines for major work projects. When Amy held a PDC with Bob to ask for his explanation, Bob tried to play on Amy’s sympathies about his recent loss, and told her that if she were his friend, she would just let him alone. Amy, because she understood what enabling was, refused to take the bait. Amy issued a written reprimand to Bob, along with **recommending** that he contact SEAP.
5. The employee is responsible to take action and follow through on the recommendation; the supervisor is not required to follow-up to determine if the employee contacted SEAP.
6. Since the ultimate objective is a return to acceptable work/job performance, the supervisor should be looking at performance as the primary indicator of change.

**PP Slide 24**

* 1. Fourth Level – Urging  
     1. Please look at page 18 in the SEAP Supervisor’s Guide. If the employee’s performance and/or behavior still haven’t improved, the supervisor should move to the 4th level of intervention.
     2. By now the employee has received a verbal and written reprimand and is facing a suspension due to continued poor job performance and/or inappropriate behavior.
     3. Along with that disciplinary action, the supervisor should provide strong urging to the employee to contact SEAP.  
        1. At this point, this is still a voluntary SEAP referral.
        2. The supervisor should be more direct in communicating what consequences will occur if the employee’s job performance or behavior does not improve.   
           1. This level of strong urging is one step short of mandating that the employee participate in SEAP and covers varying lengths of suspensions, up to the point of termination.
           2. Let’s look at how Bob and Amy are doing. Bob, unfortunately, hasn’t corrected his attendance or his performance issues, even after the oral and written reprimands. Bob’s performance has slipped so far that his co-workers are starting to complain about how much of his work they have to pick up. Amy has now issued Bob a suspension, along with **strongly urging** him to contact SEAP. Bob’s union steward, Harry Baker, also meets with Bob, and urges him to contact SEAP. If Bob were to contact SEAP now, he would have the option of asking SEAP to contact Amy and/or Harry to let them know that he was participating in a SEAP program. Bob is hopeful that this will relieve some of the pressure at work, particularly in the area of additional discipline. Bob wouldn’t be required to allow SEAP to contact Amy or Harry, however.

As you will remember from your own employee SEAP training, SEAP is a highly confidential program. SEAP won’t release any information to a supervisor without the express written consent of the employee.

**Ask for show of hands**

How many think that Amy doesn’t have to consider Bob’s participation in SEAP when she looks at issuing further discipline? How many think that Amy can consider Bob’s SEAP participation, but she doesn’t have to? How many think that Amy can’t issue any more discipline because Bob is participating in SEAP?

A supervisor is not required to consider the employee’s involvement in SEAP when making a decision regarding continued discipline. Amy may be more patient, however, if Bob is sincerely attempting to seek help. A good way to remember this is that SEAP is neither a sword nor a shield.

# PP Slide 25

Fifth Level – Referral as a Condition of Continued Employment (COCE).

Please look at page 18 in the SEAP Supervisor’s Guide. Up to now, we’ve been talking about a progressive series of interventions. The final level, the COCE, may be reached in three specific cases:

* + - * 1. The employee has been through progressive discipline, the performance/behavior has not improved, and the employee is at the point of termination; OR
        2. The employee has violated the Substance Abuse Policy (Management Directive 505.25 Amended). You will find this Management Directive on page 55 of the SEAP Supervisor’s Guide; OR
        3. The employee is a threat to self or others, the behavior is seriously disruptive to the workplace, and/or the employee is unable to perform their job in a safe and competent manner (this is called Fitness for Duty, and there is a separate training session on this aspect alone).
        4. What seems different about these reasons? Did you notice that the second and third reasons aren’t necessarily related to progressive discipline? A COCE for Substance Abuse policy violations or for Fitness for Duty may be the first SEAP intervention that has occurred with the employee.
        5. What is the same about each of these three reasons? The employee must agree to participate in SEAP in order to retain his/her employment with the Commonwealth.

**PP Slide 26**

Some fast facts about COCEs:

Are done on a case-by-case basis and are rare, with only about 2% of all SEAP referrals being done as a COCE.

Must be approved by OA-SEAP before they can be discussed with the employee and/or the union.

Cannot be offered without the appropriate approvals within your agency.

Are agreements that require the signatures of the employee, the employee’s union representative (for union covered employees), the employee’s supervisor, the agency’s labor relations specialist, and the agency’s SEAP Coordinator.

**PP Slide 27**

Are not a short cut for getting an employee to access the help that is available through SEAP.

Can only be offered in lieu of termination. The consequence for failing to sign a COCE is the loss of employment.

Are not required to be offered in lieu of termination. Each agency has the discretion to decide whether to consider a COCE, based upon the employee’s length of service, past performance, and other considerations.

Cannot be offered in situations where the Governor’s Code of Conduct requires termination.

Are not discipline – although discipline may be taken in conjunction with a COCE.

Require that an employee on a COCE cooperate with all evaluations and treatment recommendations made by SEAP in order to retain his/her job.

Are not a bar to further discipline.

An employee may only have one COCE during his/her entire period of Commonwealth employment (note the word Commonwealth, not agency). Employees who have successfully completed a COCE may not be offered another COCE at a later time in their career.

Please take a moment and look over pages 73 through 75 in the SEAP Supervisor’s Guide.

This is the actual COCE form and addendum. You will note that it outlines what is expected from the employee, and that there is ongoing communication to verify the employee’s compliance and progress in SEAP.

The COCE form cannot be changed. Other than the first paragraph where you see a “fill-in-the-blank” section, the rest of the language must remain as it is. That “fill-in-the-blank” is where to record the specific work-related reason(s) the employee is being required to participate in SEAP. This information must be factual and objective, not subjective or speculative - diagnoses or suspected diagnoses should not appear. Think back to Amy’s discussion with Bob, where Amy didn’t tell Bob she thought he was an alcoholic, but told him that having the odor of an alcohol beverage was unacceptable behavior.

If the agency wants to add conditions, those conditions go in a written addendum to the COCE. An agency may want to use an addendum for various reasons - to settle outstanding grievances, or to identify any discipline that is being taken in conjunction with the COCE.

If a COCE is appropriate, OA-SEAP will work with the Agency SEAP coordinator on the “fill-in-the-blank” language in first paragraph of COCE, and approve the draft document. Only then should the agency approach the union to discuss the possibility of a COCE and to negotiate that proposed “fill-in-the-blank” language.

1. So what happens next? Let’s look at the continuing story of Bob Jones.  
     
   As you remember, Amy, had been using performance based intervention to try to get Bob to correct his performance. Despite Amy’s efforts, Bob’s attendance and failure to complete his tasks on time continued to deteriorate. Finally, after receiving the highest number of suspension days that Amy’s agency used, Bob was at the point of termination. Amy believed that Bob could be restored to a productive employee – after all, he had many years of service, and his performance prior to his family problems had been good. Amy went to her management, and got approval to consider Bob for a COCE in lieu of termination. Amy worked with her SEAP Coordinator and Labor Relations specialist and drafted language for the “fill-in-the-blank” section of the COCE that read, “The Commonwealth has alleged that I have unsatisfactory attendance and performance.” The SEAP Coordinator contacted OA-SEAP and received approval to offer the COCE. The Labor Relations specialist then contacted the union, and discussed the COCE and the proposed language, to which the union agreed. Finally, they were ready to present the COCE to Bob.  
     
   A meeting was scheduled, and the attendees were Bob, his union representative, Amy, the SEAP Coordinator, and the Labor Relations specialist. The SEAP Coordinator explained the COCE to Bob, and read over the form with him, answering his questions about the SEAP process. Both the union representative and Amy explained to Bob that if he didn’t sign the COCE, he would be terminated for his performance related issues. Bob decided that he wanted to keep his job, so he agreed to sign the COCE. All the attendees signed the form as well, and the SEAP Coordinator gave Bob the toll free SEAP number, and told him that he was required to call within 24 hours. The SEAP Coordinator reminded Bob that he would need to be evaluated and comply with all treatment recommendations made by SEAP to keep his job. Amy reminded Bob that he would need to abide by all agency rules and regulations, and that further incidents of tardiness or poor performance could result in discipline or discharge. The SEAP Coordinator then asked Bob if he would like her to dial SEAP for him, and Bob agreed. The SEAP Coordinator called the 1-800 number, told the intake clinician why she was calling, handed the phone to Bob, and everyone left the room so that Bob could speak privately with the intake clinician.

**PP Slide 28**

1. That went very smoothly. Sometimes it doesn’t go like that. What do you think happens if…

**Ask class for answers**

* + - * 1. The employee refuses to sign the COCE? The employee is terminated.
        2. The union refuses to sign the COCE? The employee is terminated.
        3. The employee signs the COCE under protest, rather than voluntarily? The employee is terminated.
        4. The agency is not prepared to terminate the employee if they refuse to sign the COCE? OA-SEAP will not approve the COCE, and it cannot be offered to the employee.
        5. The employee signs the COCE, but doesn’t call SEAP to set up an evaluation? The employee is terminated.
        6. The employee signs the COCE, and fails to comply with the treatment recommendations (including failing to attend scheduled appointments) made by SEAP? The union is first given the chance to address the issue with the employee. If the employee does not come back into compliance, the employee is discharged from the SEAP program, and is terminated by the agency.
        7. The employee signs the COCE, complies with the treatment recommendations made by SEAP, but commits some sort of infraction at work? The agency determines what discipline level is appropriate for the nature of the infraction and its relationship to the COCE, up to and including termination.

1. I’m sure you noticed that there is a level of communication between SEAP and the agency that wasn’t present in earlier levels of SEAP intervention. What exactly is the agency told about their employee’s participation in SEAP under a COCE, and how do they get that information?

**PP Slide 29**

The SEAP Central Coordinating Office (SEAP-CCO) notifies OA-SEAP and the agency local SEAP coordinator within 5 working days of the signing of the COCE whether or not the employee contacted SEAP and scheduled and attended the evaluation session.

The SEAP-CCO provides written documentation regarding the level of treatment being recommended and the progress within that treatment on an on-going basis.

In Bob’s case, the SEAP-CCO notified the agency SEAP Coordinator that he had called and attended the evaluation, that it was recommended that he enter outpatient treatment, that he was attending his appointments, and that he was considered to be in good standing with SEAP.

Specific clinical information on the employee’s diagnosis and treatment plan are not disclosed, however, because of confidentiality. This means that Bob’s agency won’t be told if Bob really is an alcoholic, and where he has been sent for treatment.

1. Communication with SEAP is a two-way street for COCEs.  
   * + - 1. As I mentioned, the SEAP-CCO sends written progress reports about the employee’s participation in SEAP to OA-SEAP. The SEAP-CCO gets that information directly from the employee’s treating clinician.
         2. OA-SEAP provides copies of those progress reports to the agency SEAP Coordinator, who shares the information **verbally** with those individuals who signed the COCE, including the union. For employees who are not being compliant, this communication is vital, as it allows the SEAP Coordinator, the supervisor, and the union to all encourage the employee to come back into compliance.
         3. The SEAP-CCO is also looking for information from the workplace. It is very important that information about how the employee is doing on the job (performance, behavior, time and attendance, attitude, etc.) be shared. Supervisors – you should expect your agency SEAP coordinator to be periodically asking you how the employee is doing. Don’t wait for the SEAP Coordinator, however, if the employee begins to experience problems on the job. Make sure that you share that information with your SEAP Coordinator as soon as possible, so that the he/she can get that information back to the SEAP-CCO, who will share it with the clinician.

Documentation and Confidentiality

##### **PP Slide 30**

1. Even though there is more information sharing when an employee is on a COCE, the regulations concerning confidentiality still apply to records and access to information.
2. The only SEAP documents that may be placed in an employee’s Official Personnel History Folder (OPF), STD 301, are the Consent form and the final written notification of employee’s successful or unsuccessful completion of SEAP. Those documents are to be placed in a sealed, confidential envelope, and may be accessed only by the Personnel Director, the SEAP Coordinator, or the Labor Relations Coordinator.
3. The SEAP Coordinator maintains all other SEAP information (such as the progress reports from the SEAP-CCO) in separate locked files.
4. If the employee successfully completes his/her SEAP treatment, and successfully completes the one-year follow-up period, all SEAP documents about the COCE form are purged from the OPF.
5. This is a good time to talk about confidentiality in general, as it is related to SEAP.

**PP Slide 31**

* 1. All written and verbal information concerning an employee’s participation in SEAP, including treatment, the nature of problems, diagnosis, or the outcome is confidential.
  2. No information about SEAP access or participation can be shared without the employee’s written consent.
  3. Employees who are on a COCE sign written consent forms as part of the COCE. The sharing of information is limited to those persons or positions that are identified in the consent form.
  4. Federal regulations provide for criminal penalties for persons who violate the confidentiality regulations. The first offense may result in a fine not to exceed $500.00 and for each subsequent offense not more than $5000.00.
  5. If an employee should self disclose their involvement in SEAP to you, you may not re-disclose this information to anyone without the employee’s written consent, and this includes to those persons in your chain of command.

**PP Slide 32**

1. Sixth level – Termination  
   * + 1. What happens to those rare employees who haven’t improved their performance or behavior, despite all your supervisory efforts at performance based intervention? Termination.
       2. This level doesn’t really represent a SEAP intervention, because SEAP benefits cease as of the date of termination.
       3. Termination, however, may be the consequence that causes an individual to finally acknowledge that he/she has a personal problem that needs to be addressed.
       4. Failure to terminate an employee who has exhausted the levels of SEAP intervention is a form of enabling behavior, which we talked about at the beginning of this session.
2. **DEALING WITH HIGHER RISK BEHAVIOR**

# PP Slide 33

1. We have talked about enabling as a reason for supervisors failing to intervene. Performance-based intervention is one of the tools that a supervisor will use to deal with behavior problems and issues. When it comes to higher risk behavior, which is an area of special concern, there are even more reasons that supervisors don’t intervene with their employees. Let’s spend some time talking about higher risk behavior.
2. In order to be able to recognize what is inappropriate and/or higher risk behavior, we need to understand what appropriate behavior is. Normal behavior is very person specific. Each person has his/her own level of normalcy.
3. Normal for some may be to smile, laugh and joke.
4. For others, normal behavior may be grouchy, shy and quiet.
5. Normal is appropriate behavior that is consistent for that person.

**PP Slide 34**

* + - * 1. So what constitutes higher-risk behavior?

**Ask class for answers**

Deviations from a pattern of appropriate behavior can be considered abnormal behavior.

Consistent inappropriate behavior (even though it is how that person “normally” behaves) can also be considered abnormal.

**PP Slide 35**

1. Be on the look-out for the following signs:  
   * + - 1. Absenteeism – look for frequent absences or days off with vague or unlikely excuses, excessive use of sick leave, tardiness, or early departures.
         2. Changes in personal appearance, and demeanor - personal appearance becomes sloppy; wide mood swings during the day for no apparent reason; smell of alcohol and/or excessive use of breath deodorizers; repeated unusual accidents on or off the job.
         3. Poor interpersonal relations - complaints from co-workers and/or clients; other workers take over job responsibilities unnecessarily; overreaction to criticism or suggestions; avoids associates.
         4. On-the-job absenteeism - regularly absent from assigned post; long lunches and/or breaks; preoccupied/mind not on the job.
         5. Change in job efficiency - erratic or deteriorating productivity; missed deadlines; failure to follow instructions; errors in judgment.
2. There is no way to accurately predict whether or not an individual will commit a violent act. Just because an individual demonstrates some higher risk behavior does not necessarily mean that they will commit violence. As always, supervisors should not attempt to diagnose, but should deal with the behavior.
3. The following characteristics of an individual may mean that he/she has or may begin to exhibit higher risk behavior. As we discussed earlier, these are also the characteristics of an impaired employee:

**PP Slide 36**

1. A history of violence, such as involvement in criminal activity, domestic violence, verbally abusive, and/or anti-social behavior.
2. Having relationship problems, such as a romantic obsession with another person, or   
   few/no close relationships.
3. Being a pathological blamer, who accepts no responsibility for his/her actions.
4. Having impaired neurological functioning, including brain injuries. Persons with this condition tend to be less capable of inhibiting their behavior.
5. Having an elevated frustration with his/her environment. This person demonstrates irritation with family, peers or co-workers.
6. Having an interest or obsession with weapons. This does not include hunters or gun hobbyists.
   * + - 1. Studies have shown that these are common problems/symptoms of individuals who have later gone on to act out in the workplace. Combine those problems with either drug and alcohol abuse or mental illness and behavioral health issues, and you can see that you could get a volatile mix.

**Appendix 8**

* + - * 1. The following activities, which are all considered to be workplace violence as defined by the Commonwealth’s policy, also constitute higher risk behavior. This workplace violence policy is contained in Management Directive 205.33, which is included in your handout materials.

**PP Slide 37**

1. Harassment, including sexual harassment.
2. Intimidation.
3. Assault, including rape, mugging and murder.
4. Physical Violence.
5. Coercion.
6. Stalking.
7. Threats.
8. Damage to Commonwealth property.

**PP Slide 38 - title**

* 1. Why is higher risk behavior a problem?

# Ask class for answers

1. Higher risk behavior can have a profound impact on the workplace. It can affect:

**PP Slide 38 - text**

* 1. The performance of the employee who is exhibiting the higher risk behavior.
  2. The performance of the employee’s co-workers.
  3. The morale of the work-unit.
  4. The ability of the supervisor to manage operations.  
     1. Higher risk behavior is difficult to manage.  
        1. Think back to what we said about enabling – you need to try to avoid enabling the employee to continue the higher risk behavior by your actions.
        2. Think back to what we said about performance based intervention – that can be a time-intensive process. I’m sure you’ve heard before that 10% of your employees will consume 90% of your time.

**PP Slide 39 - title**

* + - * 1. So when we see higher-risk behavior, why don’t we intervene?

**Ask class for answers**

**PP Slide 39 – text** 1. Fear. We may be personally afraid of the employee,   
 especially if his/her behavior has been intimidating.

Believing that we will “set the employee off.” While this is a common misconception, your intervention will not provoke an employee who has been exhibiting higher risk behavior into committing an act of workplace violence. Your intervention, however, may prevent that escalation from happening.

Not knowing what to do. When faced with an employee exhibiting unusual or inappropriate behavior, it can be quite normal to be nonplussed and to not know what to do next.

Not recognizing behavior as a performance issue. Supervisors have been traditionally trained to be looking at an employee’s performance – in other words, are they completing their work on time and are they doing their work correctly. Supervisors have not traditionally been trained to look at an employee’s behavior in the workplace and to consider that as part of their work performance.

**PP Slide 40**

So what do you do when you have an employee exhibiting higher risk behavior? Use your performance based intervention skills.

Be on the lookout for changes in behaviors in your employees. Some of these behaviors may be warning signs. Also be aware of those situations that may lead to problem or higher-risk behavior.

Impaired judgment. The individual experiences mood swings and their ability to reason changes; he/she makes questionable decisions (assuming he/she made reliable decisions in the past).

Emotional issues, such as crying/laughing more than usual and/or at times that are inappropriate for the circumstances, overreacting, rapid speech, and/or pounding, banging, or slamming of objects.

Financial or legal problems.

Strained family relationships, such as marital problems, trouble with children, participating in an abusive relationship, and/or severe illness in the family.

Use of offensive or profane language.

Continual blaming or use of excuses.

Being overly defensive when criticized.

Use your performance based intervention skills and document.

Counsel employees as you see changes in behavior and performance and inform them of SEAP services.

Initiate corrective action or discipline when warranted—DO NOT ignore problem behavior.

Be familiar with procedures to be used in the event of a violent incident, including emergency phone numbers, the identity of the agency’s workplace violence coordinator and debriefing procedures.

Consult with SEAP when an employee shows signs of inappropriate behavior, makes threats, or uses language that may indicate the potential for acting out.

1. The actual number of incidents of workplace violence is low – but the number of incidents of higher risk behavior is much higher. Intervention is the key to dealing with higher risk behavior. Be especially aware of those employees whose inappropriate behavior does not change when you use performance based intervention.
   * + - 1. Skills that you can use when dealing with higher-risk behavior from your employees.

# PP Slide 41

The first skill is always – stay calm.

Attempt to de-escalate the situation – do not engage or increase the level of the confrontation. Remain courteous.

Listen attentively to the individual, and maintain eye contact. Show that you are paying attention to him/her and his/her concerns.

If appropriate, signal a coworker or supervisor that you need help. Use a duress alarm system or the prearranged code word for your office. This code word will let them know that security or law enforcement should be called.

If there is a weapon involved, always follow the individual’s instructions, and do not attempt to grab the weapon. Never risk harm to yourself or others.

If a threat is received by telephone, follow the instructions for bomb threats that have already been provided by the Commonwealth.

Keep a list of Emergency Phone Numbers near your telephone or someplace close for handy reference. (Include building security, police, fire dept., ambulance, health services unit).

1. Remember, your response to an employee demonstrating higher risk behavior may not be consistent with traditional progressive discipline.

# PP Slide 42

1. You may be counseling the employee or issuing discipline.
2. You may be using your Fitness For Duty Guidelines.
3. You may be immediately removing the employee from the workplace, whether through suspension, direct order to leave, or law enforcement assistance.
4. You may be requesting approval from OA-SEAP for a Condition of Continued Employment (COCE), even though the employee has not exhausted progressive discipline, and possibly has no previous discipline history.
5. You may be requesting approval from OA-SEAP for a Mandatory SEAP evaluation.
6. As I previously stated, there is a separate training session that deals specifically with these Fitness For Duty situations.  
   1. What are the responsibilities of management and employees regarding higher-risk behaviors?

# PP Slide 43

* + 1. Do something about it – don’t ignore the situation.
    2. Employees should be reporting instances of higher-risk behavior that they have observed to their supervisor.
    3. Supervisors should be using their performance based intervention skills to encourage changed behavior in employees who are exhibiting higher risk behaviors.  
       1. The Commonwealth has implemented Workplace Violence Initiatives, including the policy on Workplace Violence, and training on workplace violence. Reading the policy, and attending the training will provide you with additional resources in dealing with employees exhibiting higher risk behavior.
       2. You should also become familiar with our agency’s policies and procedures regarding workplace violence.
       3. In instances where employees with higher risk behavior have committed workplace violence, or have seriously disrupted the workplace, you should consider contacting OA-SEAP to discuss whether a Critical Incident Stress Debriefing or other on-site service is warranted.
  1. **ON-SITE SERVICES**

# PP Slide 44

* + 1. So what is an on-site service? These are services that are provided by the Commonwealth’s behavioral health contractor (currently United Behavioral Health) to help management deal with employees. The on-site service may be one of several varieties:  
       1. Critical Incident Stress Debriefing (CISD).
       2. Other on-site services.   
          1. Management or clinical consultation.
          2. Training, coaching, and/or education sessions.
       3. We’ll look at each of these services to see how they can help keep the workplace running smoothly and effectively.

**PP Slide 45**

* + - * 1. Critical Incident Stress Debriefing (CISD)

1. This is the process of crisis debriefing that may be indicated following traumatic or profoundly stressful events that occur at the workplace and/or during the performance of duty.
2. A critical incident is an event that overwhelms employees’ normal ability to cope

**PP Slide 46**

1. A critical incident causes stress reactions, such as an inability to perform job duties, loss of emotional control, anger, grief, anxiety, etc.

# PP Slide 47

1. Traumatic events can include the sudden death of a co-worker; a shooting or violent incident at the workplace; a fire, explosion, or other life-threatening event at the workplace, a search and rescue mission, a robbery, or any other sudden event that compromises the employee’s ability to function normally and effectively.
2. CISDs are offered by SEAP to a group of employees who have been impacted by a traumatic event as a result of their employment.

# PP Slide 48

1. A CISD is most effective when held between 24 and 72 hours after the incident.
2. Earlier than 24 hours, people may still be running on “automatic pilot”.
3. Beyond 72 hours, people are beginning to develop an “emotional shell” to protect themselves from further trauma, which impedes the ability to heal.
4. If a supervisor feels that a crisis debriefing is indicated, he/she should alert the agency SEAP Coordinator as soon as possible following the incident in order to maximize the effectiveness of the session.

# PP Slide 49

* 1. A CISD is conducted at the worksite or other agreed upon location by trained individuals who are mental health professionals.
  2. Employees are lead through a voluntary confidential meeting (mandatory in Corrections, State Police, and Probation & Parole).  
     1. They have the opportunity to share their thoughts and reactions to the event.
     2. They learn that their reactions are normal and that others are experiencing them as well.
     3. They learn ways to help themselves heal faster.

1. The goal of crisis intervention is to mitigate acute stress reactions and accelerate the normal healing process.
2. Crisis intervention is not therapy – it is psycho-educational.
3. It is emotional first aid.
4. It is not an eraser, rather, it acts as a shock absorber.

# PP Slide 50

1. Other on-site services
2. Other events, while not critical incidents, have a major impact on the workplace and employees.
3. Furloughs.
4. Terminal illness of a co-worker.
5. Reorganizations.
6. The closing of an agency or facility.
7. A major change in policy that impacts a significant number of staff.
8. In consultation with OA-SEAP and the provider, a determination will be made what kind of service would be the most effective.
9. A training/education session on how to deal with change, stress management, team building, or communication may be the most effective.
10. Perhaps a management consultation or coaching, either on-site or by telephone, is what is needed.  
    1. CISDs and on-site services are free to the agency.

# PP Slide 51

1. Process for accessing on-site services**:**
2. The supervisor follows the chain of command in order to contact the agency’s SEAP coordinator.
3. The supervisor should ultimately have approval to discuss the situation directly with the SEAP coordinator since the supervisor is the person most knowledgeable of the situation, and one who has a personal relationship with the employees.
4. For those events that are known in advance (e.g., furlough, reorganization), the earlier in the process that SEAP can be involved, the better.
5. These steps should be followed by the supervisor to ensure a constructive on-site service session:
6. Explain the event and the reaction of the employees to that event.
7. State the location of the workplace and the phone number of a contact person.
8. Determine how many employees might attend the debriefing.
9. Provide space accommodations for the behavioral health professional to hold a meeting. Those accommodations should be private and free from interruption.
10. Attend the session, if appropriate.
11. Follow up with the employees as necessary.
12. Provide support following the debriefing, including recommendations for additional one-on-one counseling for employees who continue to display anxiety and stress-related symptoms.

# PP Slide 52

* 1. Why does the Commonwealth promote the use of on-site services?
     1. On-site services help to restore our employees’ well being and returns them to full performance more quickly.

1. It reassures employees.
2. It helps to calm employee fears and anxieties.
3. It supports the employees in the grieving process.
4. It reduces employee absenteeism.
5. It reduces the Commonwealth’s Workers Compensation claims and costs.
   1. During the on-site service, the mental health professional will identify individuals in need of services, so they get the additional help they need.
6. This can help to prevent Post-Traumatic Stress Disorder (PTSD).
7. The SEAP professional who provides the on-site service is specially trained to deal with traumatic events experienced at the workplace.
8. The information discussed at the debriefing will provide insight into the feelings or reactions participants are experiencing.
9. The counselor will also be able to separate feelings that are appropriate from those that might be indicative of the need for additional treatment.
   1. Immediately following the traumatic event, supervisors should remain vigilant.
10. Some employees may continue to be anxious and have symptoms or reactions to the event.
11. It is important for supervisors to take the lead in providing a positive and supportive atmosphere for all team members.
12. Some employees will need additional reassurance and encouragement to contact SEAP for further counseling.
13. Other employees will process the information acquired during the debriefing, cope effectively, and move on.

# PP Slide 53

* 1. **PROFESSIONAL HEALTH MONITORING PROGRAM (this section is only for those agencies who employ licensed professionals covered by this program. All other agencies should proceed directly to Section X)**
     1. The Professional Practice and Title Acts regulate the conduct and licensing of professional occupations. A number of Commonwealth employees are covered by the Professional Health Monitoring Program (this was formerly called the Impaired Professional Program).  
        1. The following licensed professionals are covered:
  2. Dentist and Dental Hygienist.
  3. Medical Doctor.
  4. Physician Assistant—medical or osteopathic.
  5. Registered Nurse.
  6. Licensed Practical Nurse.
  7. Social Worker.
  8. Veterinarian.
  9. Osteopathic Physician.
  10. Pharmacist.
  11. Physical Therapist.
  12. Podiatrist.
  13. Psychologist.

**PP Slide 54**

1. Mandatory reporting to the Department of State is required by any hospital, health care facility, peer or colleague that has substantial knowledge that an employee who is in one of the above-licensed professions has:  
   1. An addictive disease, or
   2. Is diverting a controlled substance, or
   3. Is physically or mentally incapable of carrying out his or her duties
   4. **And** is not receiving treatment.

**PP Slide 55**

1. So what constitutes substantial knowledge?
   1. It is important to define the meaning of substantial knowledge, since it is important that reasonable prudent objective information exists before considering reporting a licensed professional to the Department of State.
   2. Substantial knowledge is defined by Webster as “essential, important, not imaginary or illusory, established by proof or competent evidence.”
   3. Subjective information such as feelings, gossip and rumors would not be considered substantial knowledge.
   4. Examples of substantial knowledge would be:  
      * Self-disclosure.
      * Documented unfitness for duty.

**PP Slide 56**

* + - 1. So what are the circumstances when a licensed professional should be reported to the Department of State?  
         1. Agencies are required to report licensed professionals under the following sets of circumstances:

When a licensed employee is terminated and there is substantial knowledge that there is an alcohol, drug, mental health, or other impairment.

When a licensed employee is participating in SEAP on a COCE and is subsequently discharged for noncompliance by SEAP or the employer.

If the employee is permitted to resign in lieu of termination and there is substantial knowledge that there is an alcohol, drug, mental health, or other impairment.

If a licensed employee is actively involved in SEAP, then mandatory reporting to the Department of State is **not** required.

There must be documentation of the employee’s participation in SEAP. As we’ve discussed before about confidentiality, this documentation will not include information on the individual’s diagnosis or treatment plan, but will confirm SEAP participation.

The employee can become involved in SEAP either through a voluntary referral, using the Voluntary Disclosure form, or through a COCE.

Participation in the Department of State’s Professional Health Monitoring Program (PHMP) is **different** from SEAP and involvement in PHMP does not preclude a Voluntary Disclosure or COCE through SEAP.

An agency may still determine that it is appropriate to report the employee to the Department of State, even if the employee is participating in SEAP, based upon the circumstances surrounding an individual case.

# Please consult with your agency labor relations coordinator, your agency SEAP coordinator and OA-SEAP prior to reporting any employee to the Department of State.

# PP Slide 57

# CONSULTATION LINE

* 1. I’d like you to turn your SEAP Supervisor’s Guide over and look at the back cover. There you will find both the regular 1-800 number to access SEAP services (called referral), but also a number listed for consultation. That’s what we are going to talk about now.
  2. What is the SEAP Consultation Line?

# PP Slide 58

* + 1. The SEAP Consultation Line is a support service that is designed to help supervisors, managers, and union personnel deal with difficult situations and events that can adversely affect employees and the workplace.
    2. The SEAP Consultation Line is answered by clinicians (with the same qualifications as those who answer the referral line) who have received additional training in Commonwealth policies and procedures.
    3. The consultation line can be a vital support to supervisors and managers who frequently have the opportunity to intervene early in work-related situations. It can help them deal with difficult situations more sensitively, and assist them in obtaining services for employees.
    4. As advocates for employees, union stewards can be influential in motivating workers to seek services available through SEAP. The consultation line can be helpful in assisting the union steward to determine the best approach to a particular situation.
    5. The SEAP Consultation Line is an additional resource for supervisors and managers. As leaders in the workplace you are not trained experts in human behavior, but are expected to function as motivators and decision-makers in difficult situations. The consultation line can support supervisors and managers by helping them to better understand what is happening in critical situations, apprising them of available services, and advising them on how to best proceed.

**PP Slide 59**

### When should you use the SEAP Consultation Line?

* + - * 1. When you are unsure how to approach a difficult situation involving an employee. Some examples might be:

The sudden loss of an employee’s family member.

A serious medical problem.

An employee going through a divorce or a relationship problem that is impacting his/her performance.

An employee that you suspect has a substance abuse problem.

An employee who is exhibiting higher risk behavior.

When you need technical assistance or techniques on how to motivate an employee to make that initial contact with SEAP.

As an early intervention tool. Being proactive is always better than being reactive.

**PP Slide 60**

What can you expect when you call the SEAP Consultation Line?

Practical advice to assist you in dealing with your employees.

If the information isn’t helpful, or the approach didn’t work, be sure to call the Consultation Line back and tell them. There may be another suggestion or approach that will work better.

Keep in mind that due to the confidentiality of the SEAP program, you will not be told whether or not your employee is involved in SEAP (unless the employee has signed the appropriate consent forms.)

Information that you provide to the Consultation Clinician about your employee will **not** be shared with the employee’s treating clinician.

* + - * 1. First, this information is considered hearsay.
        2. Second, there is no way for the consultation clinician to confirm your identity or to verify the accuracy of your information.

**PP Slide 61**

1. QUESTIONS
2. **SEAP VIDEO (optional activity - the placement is also optional here – the video can also be shown at the beginning of the training course)**

**Introduce video**

To wrap – up what we’ve talked about today about your role as a supervisor in the SEAP program, we are going to watch a video. This video is about real situations (using actors) where supervisors used the services available through the SEAP program to assist their employees. As you’re watching, think about situations that you have encountered that were similar.

1. **KNOWLEDGE ACTIVITY (optional activity)**

**Appendix 9**

**Appendix 1 – Personal Logos**

**NUMBER OF**

**PARTICIPANTS:** Up to 40

1. **INSTRUCTIONS**
   1. Give each person a blank name tag.
   2. Make the following statement to the group. “Corporations are recognized by their specific logo or symbol, such as McDonald’s Arches, Apple Computer’s Apple, 3M, etc.
   3. Instruct the participants to draw their own personal logo on their blank name tag. The logo should reflect their personality, their interests, or any thing that they would like people to know about them. Tell the participants they will have two minutes to complete this task.
   4. At the end of two minutes ask the group to stop, and to put their logo tags on. Instruct the group to mingle and see what everyone else’s logo looks like.
   5. Allow participants to mingle for two minutes, and then call out additional instructions. Instruct the participants that those that have similar logos should form a small group. Allow two minutes to complete this task.
   6. Ask each group to explain why they consider themselves to be similar or a group based upon their individual logos.

Appendix 2 – Human Scavenger Hunt

# NUMBER OF

**PARTICIPANTS:** UNLIMITED

1. **PREPARATION:**
2. Prepare a list of instructions similar to the one below that challenges the individual to “Find someone who…”
3. Prepare enough copies of the list for the entire group.
4. **INSTRUCTIONS:**
5. Distribute the list to the group.

1. Instruct participants to mingle among the group in search of the answers to the questions on the list. When they get an answer they should write that answer on their sheet, as well as the name of the person who provided the information.

1. Allow the group to mingle for three to four minutes.
2. At the end of the time period, instruct the participants to return to their seats.
3. Ask the group, by a show of hands, how many were able to answer 3 or more questions, 4 or more questions, and so on. For the individual(s) who were able to answer the highest number of questions (so long as that was less than 14) ask them what question(s) they were not able to obtain the answer to. Then ask the group as a whole if anyone else was able to find someone with that answer.
4. **LIST –“Find someone who . . .”**
   1. Knows the number of the Management Directive on Workplace Violence.
   2. Can name both their local and agency SEAP Coordinators.
   3. Has a copy of the SEAP Supervisor’s Guide (dated 10/98) on their desk at work.
   4. Has worked for the Commonwealth for \_\_\_ years.
   5. Has worked in \_\_\_ number of state agencies.
   6. Knows what PBI stands for.
   7. Lives in a county other than yours.
   8. Has referred an employee to SEAP.
   9. Has the same middle initial as yours.
   10. Has been to SEAP training before.
   11. Knows what CISD stands for.
   12. Has the same shoe size as you.
   13. Knows how many free sessions are available through SEAP.
   14. Knows what COCE stands for.

**Appendix 3 – Reading Material**

**Number of**

**PARTICIPANTS:** UNLIMITED

1. **PREPARATION:**
2. Make sufficient copies of the provided articles so that each participant receives one. More than one participant can receive a copy of the same article.
3. Alternately, locate appropriate newspaper or short magazine articles and make sufficient copies of them to distribute. A minimum of two articles is needed.
4. Make sure that participants sitting next to each other do not have a copy of the same article.  
   1. **INSTRUCTIONS: Distribute articles**
5. INTRODUCTION:Some of you may have wondered why the Commonwealth places such emphasis on SEAP awareness for supervisors and managers. The sheets being passed around describe some situations where an employee assistance program might be indicated.
6. Instruct the group to take a few moments to review the readings.
7. Allow the participants 1 to 2 minutes to read the articles.
8. Instruct the group to partner with the person seated next to them to discuss their articles, and to consider how SEAP could have been useful in these situations.
9. If time allows, solicit responses from the group, and encourage discussion. Record the responses on a flip chart.

**Appendix 4 – Visual Impact of the Need for SEAP**

**Number of**

**PARTICIPANTS:** UNLIMITED

1. **INSTRUCTIONS:**
2. Have participants count off by fours.
3. Ask everyone who was a number 1 to stand.
4. Ask the group to look around.
5. Ask the number 1’s to sit.
6. Ask the group the following question – To supervisors - how many of you supervise four or more individuals? To union officials – how many of you provide support and services to four or more individuals?
7. Ask those who answered “yes” to the above questions to stand.
8. Instructor makes the following statement while the group is still standing: Studies show that 1 in 4 people have some problem or difficulty in their life that could be eased or resolved by getting involved in SEAP. Those of you now standing are probably supervising someone or providing support to someone who may well have a need for SEAP services for him/herself or a family member.

**Appendix 7**

**Constructive Interview Exercise**

**NUMBER OF**

**PARTICIPANTS:** Up to 45

1. **INSTRUCTIONS**
   1. Have the participants arrange themselves into groups of threes.
   2. Within each group, have the participants count off.
   3. Instruct the participants that they are now going to practice participating in a constructive interview.
   4. Instruct all the number 1’s that they will be the supervisor, all the number 2’s that they will be the union steward/observer, and the number 3’s that they will be the impaired employee.
   5. Assign a performance or behavior problem to each group. This can be done verbally; walking group to group (for small class sizes), or you may wish to write the problem on 3 x 5 cards and hand one to each group.
   6. Tell the employees (number 3’s) that they may choose their own impairment.
   7. Tell the union stewards (number 2’s) that they have a dual role; to act as the employee’s advocate while using appropriate SEAP intervention techniques, and to be the observer of how well the process is working.
   8. Instruct the participants that they will have five minutes to complete the exercise. The goal is for a constructive interview, with appropriate SEAP intervention, to occur.
   9. At the conclusion of the five minutes, call the participants back to order, while remaining in their groups of three. Ask each group to report back on the following issues:  
      1. Employees – how did you feel during the interview? What was the hardest part for you?
      2. Supervisors – how did you feel during the interview? What was the hardest part of the interview? Do you feel that your intervention was successful?
      3. Union stewards – how did you feel during the interview? Do you feel the intervention was successful? What suggestions would you have for improving what happened?

**Appendix 9**

**Card Sort Knowledge Activity**

## NUMBER OF

**PARTICIPANTS:**  20-100

1. **PREPARATION:**
2. Choose groups of questions/phrases from the list below, or prepare similar questions/phrases.
3. Write one item or statement from a question group on a note card. If using colored cards, use all the same color or randomly use colors (do not arrange question groupings by color).
4. Post blank flip charts in the corners of the room.
   1. **INSTRUCTIONS:**
5. Divide the number of participants scheduled for your class into small groups (4 to 10 participants per group).
6. Give one note card to each participant.
7. Instruct participants that the statement/question on each card is part of a group of related statements about a SEAP topic.
8. Instruct the group that they must find other participants in the room who have cards with similar statements that would be part of that group of related statements.
9. Give participants 5-7 minutes to find their group.
10. Explain that once participants feel they have found the right group, they should proceed to a corner and write the topic theme of their group on a blank flip chart.
11. After participants have completed the exercise, have each group explain how they determined their common relationship and the title of their topic.
    1. **Suggested Groupings:**
12. Substance Abuse

* Management Directive 505.25
* Cocaine
* Marijuana
* Alcohol
* Narcotics
* Inhalants
* Chemically dependent
* Impaired employee

1. Performance Based Intervention.

* Constructive interview
* Condition of Continued Employment
* Discipline
* Counseling
* Suggestion
* Referral
* Recommendation
* Urging
* Discipline

1. SEAP Services

* Clinicians available 24/7
* Up to 3 Free assess and refer sessions
* Toll-Free Number
* Consultation line
* Confidential
* Critical Incident Stress Debriefing
* On-site services  
  1. Workplace Violence
* Murder
* Rape
* Arson
* Destruction of property
* Threatening language (verbal/written)
* Sexual harassment
* Harassment

**Appendix 10**

**Quotations**

The problem is not that there are problems. The problem is expecting otherwise and thinking that having problems is a problem.

Theodore Rubin

**People seldom refuse help, if one offers it in the right way.**

* 1. C. Benson

It is one of the most beautiful compensations of life, that no man can sincerely try to help another without helping himself.

Ralph Waldo Emerson

The best way to escape from a problem is to solve it.

Alan Saporta

Just because something doesn’t do what you planned it to do doesn’t mean it’s useless.

Thomas Alva Edison

It takes less time to do a thing right than explain why you did it wrong.

Henry Wadsworth Longfellow