



# WYOMING DEPARTMENT OF CORRECTIONS

## Policy and Procedure #1.212 Employee Assistance Program

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<b>Authority:</b> Wyoming Statute(s): 25-1-104; 25-1-105  ACA Standard(s): 4-4071; 2-CO-1C-25; 4-APPFS-3E-14	<b>Effective Date:</b> February 15, 2016 <b>Revision/Review History:</b> 01/01/15 06/01/14 01/15/14 02/15/13 01/15/12 06/14/10 03/10/08
<b>Cross Reference of Policy:</b> P&P #3.200, <i>Emergency Preparedness</i>	<b>Summary of Revision/Review:</b> Updates existing policy pursuant to annual review. <b>Supersedes Existing Policy :</b>
<b>Approved:</b>  R.O. Lampert Robert O. Lampert, Director	  2/10/16 Date

### REFERENCE

**1. ATTACHMENTS**

- A. WDOC Form #151, *Employee Assistance Program Supervisor Referral Form*
- B. WDOC Form # 152, *Employee Assistance Program Limits of Confidentiality*
- C. WDOC Form #153, *Employee Assistance Program Release of Information/Consent to Disclose*

**2. OTHER – None Noted**



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## I. PURPOSE

- A. **Employee Assistance Program.** The purpose of this policy is to establish and maintain a Wyoming Department of Corrections voluntary worksite based employee assistance program. (ACA 4-4071; 2-CO-1C-25; 4-APPFS-3E-14) The program is designed to assist employees affected by personal or workplace concerns that can or are adversely affecting job performance or personal well-being. The primary goals of the program are to assist in the prevention, identification and resolution of productivity problems and to locate resources for assistance, treatment and rehabilitative help. Employees are encouraged to participate fully in order to maximize the positive impact of intervention and care.

## II. POLICY

- A. **Assistance to Employees.** It is the policy of the Wyoming Department of Corrections (WDOC) to present options for problem resolution and to provide assistance to WDOC employees affected by workplace or personal concerns in order to encourage overall employee wellness and to maximize effective job performance. It is the policy of WDOC to provide options and assistance that benefit both the employee and the agency.
1. EAP services are available to full-time, part-time and At-Will Employment Contract (AWEC) staff of WDOC. Services are not available to contract staff, volunteers, or family members of WDOC staff. Notwithstanding the aforementioned limitations, the Employee Assistance Program Manager shall work with designated staff in the event of an emergency to provide services to all WDOC staff and staff families, as indicated in WDOC Policy & Procedure #3.200, Page 2, Section II; A, 1 *Emergency Preparedness*.
- B. **Options for Problem Resolution.** It is the policy of WDOC to address employee problems that hinder effectiveness, decrease productivity, or both by providing options for problem resolution that include, but are not limited to, assessment, referral, education, supervisor/manager consultations, and crisis intervention.
- C. **EAP Mission Statement.** The Mission Statement of the Employee Assistance Program (EAP) is: “The Employee Assistance Program exists to help identify options to address and resolve issues and ensure a safe, healthy, and productive work environment for employees of the Wyoming Department of Corrections.”



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### III. DEFINITIONS

- A. **Assessment:** *(For this policy only.)* Interview designed to identify presenting problems, underlying issues, employee health, strengths/weaknesses, employment and family history in order to help the employee develop an individualized plan of action and make appropriate referrals. Assessments are generally more in-depth processes than screening interviews.
- B. **Counseling:** *(For this policy only.)* In depth two-way discussions between a licensed mental health professional or other professional community resource and an individual employee in order to determine the nature of the employee's problem, identify employee strengths and constraints, and establish a plan to address and resolve his/her issues.
- C. **Critical Incident Response:** Actions taken in response to an emergency situation at the workplace involving Wyoming Department of Corrections employees that are intended to provide support, comfort, and assistance to employees and/or their family members throughout and beyond the crisis event, as needed and available.
- D. **Education:** *(For this policy only.)* Information, training, and resources designed to directly improve and promote health, well-being and workplace productivity provided by the Employee Assistance Program to Wyoming Department of Corrections employees.
- E. **Employee Assistance Program (EAP):** A confidential and voluntary worksite-based program designed to assist in the prevention, identification, and resolution of productivity problems associated with employees affected by workplace or personal concerns which may adversely affect employee job performance.
- F. **EAP Advisory Committee:** Wyoming Department of Corrections employees tasked to annually review, update and validate the ~~vision, mission, and~~ policy of the Employee Assistance Program and to provide continued support, review, and guidance for the program and the EAP Manager.
- G. **Referral:** *(For this policy only.)* The process of connecting individuals to an appropriate community resource.
- H. **Screening Interview:** *(For this policy only.)* A process of collecting specific information to determine the urgency and immediacy of an employee problem and level of immediate risk, in order to guide the employee to the appropriate course of action and/or source of assistance.



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- I. **Self-Referral:** (*For this policy only.*) Employees initiating contact with the Employee Assistance Program Manager to address and obtain needed assistance to address and resolve a problem or concern.
- J. **Supervisor/Manager Consultation:** (*For this policy only.*) Support provided by the Employee Assistance Program Manager to supervisors/managers in evaluating, analyzing and responding to employee or organizational performance problems, conduct problems, or morale; where appropriate.
- K. **Supervisor Referral:** (*For this policy only.*) Request from a supervisor to provide Employee Assistance Program services to an employee using WDOC Form #151, *Supervisor Referral Form*.

#### IV. PROCEDURE

##### A. Participation

- 1. All full-time, part-time, and AWEC employees of the WDOC are eligible for EAP services.
- 2. Participation in the EAP is strictly voluntary. Employees will not be penalized for not choosing to avail themselves of EAP services.

##### B. Confidentiality.

Information concerning an employee's status with the EAP may not be divulged without the expressed written consent of the employee, or as otherwise permitted or required by law.

- 1. The EAP Manager and employee will both sign WDOC Form #152, *Employee Assistance Program Limits of Confidentiality* prior to the initial assessment, in order to assure the employee that his/her private information will not be divulged, except as required by law and/or this policy.
- 2. If it becomes necessary for the EAP Manager to refer the employee to an outside agency, the employee must sign WDOC Form # 153 *Employee Assistance Program Release of Information/Consent to Disclose* in order to authorize the sharing of specified/limited personal information with a professional service provider, family member, or supervisor as needed to support and enhance the employee's resolution of identified issues.

##### C. Program Assistance and Services

- 1. The EAP may assist WDOC employees with issues such as, but not limited to: anger, career change, depression/anxiety, eating disorders, elder



care, emotional, family, financial, grief/loss, health related problems, interpersonal conflict, legal issues, parenting skills, relationships, relocation, stress, substance abuse, and military deployment.

2. The EAP will provide WDOC employees with a variety of confidential services, including the following:
  - i. Screening interviews;
  - ii. Assessment interviews;
  - iii. Referrals to professional resources in the community;
  - iv. Prevention education;
  - v. Critical incident responses;
  - vi. Manager/Supervisor consultations; and
  - vii. Follow-up.
3. In the event that a WDOC employee is referred to a community resource or service provider, the employee shall be responsible for any cost of services provided by the community resource or service provider.

**D. Access to Services.** WDOC employees will be provided meaningful access to EAP services and may expect timely response to requests for assistance. EAP services can be accessed by self-referral and supervisor referral.

1. **Program Accessibility.** WDOC employees will generally be able to access EAP services during regular business hours (*i.e.*, 8:00 a.m. through 5:00 p.m., Monday through Friday, excluding holidays).
  - i. In the event that the EAP Manager is unavailable, a recording will direct callers to contact proper emergency services in the event of an emergency or to leave a message in the event of a non-emergency.
  - ii. The EAP Manager will generally respond to messages within two (2) business days.
  - iii. The EAP Manager will generally not respond to anonymous calls or messages. An employee or supervisor must provide contact information in order for the EAP Manager to respond.



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- E. Self-Referral.** An employee may choose to contact the EAP Manager on his/her own accord to request an appointment. The limits of confidentiality will be discussed and the employee and EAP Manager will decide on the time and location of the initial session.
- F. Supervisor Referral.** Supervisors who wish to refer an employee should complete WDOC Form #151, *Supervisor Referral Form*, indicating the nature of the referral, duration of the problem, contact information for the employee; and whether or not the problem has previously been addressed. \*The employee must consent to EAP referral prior to being contacted by the EAP manager. This #151 form will be submitted to the EAP Manager and an appointment will be scheduled for the employee. The supervisor may be informed of the location for the screening or assessment interview; progress toward addressing issues and whether or not a referral was made and/or kept.
1. It is within the right of an employee to decline to use EAP services. Assistance provided by the EAP is separate from any action taken by Human Resources. Because the failure of an employee to resolve an identified problem may result in disciplinary action, the EAP will seek to assist the employee in addressing the identified problem. Involvement with EAP does not prevent disciplinary action.
- G. Case Records**
1. A written or computer-based case record shall be established for each employee utilizing EAP services. The EAP Manager shall determine whether or not the presenting employee constitutes a new case file or the continuation of a previously established case. Records may be established when the EAP Manager conducts an assessment, makes a referral, or provides other EAP services.
  2. EAP records will be maintained in a system of records that is secure, separate, and distinct from any other departmental record system.
  3. Employees shall have a right to access their EAP records. The EAP Manager will provide assistance in interpreting the records in consultation with the employee regarding the records.
  4. The EAP Manager will maintain and conform to the WDOC retention schedule on all employee records, and will properly dispose of records according to the established retention schedule.
- H. EAP Advisory Committee.** The WDOC Director shall appoint a group of employee volunteers to serve as WDOC's EAP Advisory Committee for overlapping three (3) year terms under the direction of WDOC's EAP



Manager. Upon completion of three (3) year terms, members may opt to renew their terms without a break in service.

1. The EAP Advisory Committee shall be comprised of employees who have volunteered and expressed a strong interest in helping develop and maintain a viable Employee Assistance Program for WDOC, who are representative of all divisions and various worksites of the agency throughout the state, and who have been appointed to the committee by their respective Chief Executive Officer (CEO). The recommended composition of the committee shall be as follows:
  - i. Two (2) employees representing Central Office;
  - ii. Five (5) employees representing Field Services, preferably from different districts throughout the state;
  - iii. Two (2) employees representing the Wyoming Honor Conservation Camp;
  - iv. Two (2) employees representing the Wyoming Honor Farm;
  - v. Four (4) employees representing the Wyoming Medium Correctional Institution;
  - vi. Four (4) employees representing the Wyoming State Penitentiary;
  - vii. Three (3) employees representing the Wyoming Women's Center;
  - viii. Three (3) *ex officio* members from Central Office, representing Human Resources, Policy & Planning and the Public Information Office;
  - ix. The EAP Manager, serving as chair of the committee; and
  - x. Other WDOC staff with expertise that may assist the committee as needed in carrying out its charge, at the request of the EAP Advisory Committee or Manager.
2. The EAP Advisory Committee shall be responsible for providing guidance and support to the EAP Manager in developing programs and resources throughout the agency, for monitoring the effectiveness of the program, and for monitoring compliance with this policy.
3. The EAP Advisory Committee shall meet quarterly, on the second Wednesday in January, April, July, and October. Meetings shall be held



via teleconference or video conference, or at a mutually agreed upon location.

- I. **Program Evaluation.** Evaluation and monitoring of the EAP will be conducted on an annual basis by the EAP Advisory Committee to ensure quality of services.
  1. The EAP Advisory Committee may utilize an individual or committee to audit the quality of services, utilization rates, the record keeping system, and security of files on an annual basis. The individual or committee, and the EAP Advisory Committee as a whole, is strictly prohibited from reviewing the contents of any employee files.
  2. The EAP Advisory Committee will regularly monitor the program and annually review the policy.

V. **TRAINING POINTS**

- A. What is the purpose of an Employee Assistance Program?
- B. Name personal issues addressed by the Employee Assistance Program.
- C. Must employees access the EAP only through their supervisors?
- D. Can employees receive disciplinary actions if they are enrolled in the EAP?
- E. Who may access information in an EAP case file?