

Life Management Systems (LMS) Employee Assistance Program
Formal Referral Form- Instructions & Guidelines for Supervisors
PLEASE READ

The formal referral process permits an employer to recommend in writing that an employee seek the confidential counsel of the EAP in order to address any personal matters that may be involved with unacceptable workplace performance and/or behavior.

A formal referral is not “therapy” or “treatment”, but rather offers the employee prompt, no-cost, confidential assessment by an experienced and licensed behavioral health professional. This professional then issues specific recommendations for intervention, if any, to both the employee and the employer and assists with case management of the employee’s access to, compliance with, and completion of these intervention services.

- 1) Formal Referrals to the EAP must be made pursuant to specific workplace performance deficiencies and/or policy violations. An employer should never Formally Refer an employee to the EAP as a result of matters pertaining exclusively to the personal life of the employee.
- 2) It is strongly recommended prior to initiating any formal referral or completing the required Formal Referral Form that you first contact one of the management consultants at Life Management Systems to discuss the situation in detail. Management consultants can be reached at (513) 551-1500 or 1-800-733-0257
- 3) Life Management Systems discourages employers from presenting any referral to the EAP as mandatory. There are significant practical and potential legal reasons for avoiding such statements. A formal referral is not the same thing as a mandatory referral. Consider discussing this matter with your LMS management consultant as well as ways in which you can present the referral to the employee in a manner better likely to produce success and less likely to create liability for you. If you wish to present referral to Life Management Systems as mandatory, we suggest that you discuss this decision with your legal counsel prior to proceeding.
- 4) It is strongly recommended that you involve your Human Resources/Personnel department in any formal referral to the EAP.
- 5) The formal referral form must be completed in its entirety and must be signed by both the employee being referred and the supervisor of record prior to being submitted to LMS. Completion of the form and the required signatures provides LMS with information essential to serving the employee and employer, as well as securing vital legal protections for the employer and for LMS.

- 6) Note that the “referring supervisor” at the top of page 1 must be the same individual who signs the form as “referring supervisor” on page 2. This will also be the only individual with whom LMS can legally discuss the details of case disposition.
- 7) **IMPORTANT:** If the case at hand involves an employee who holds a Commercial Driver’s License (CDL) and has tested positively for alcohol or other drugs, or has otherwise violated U.S. Department of Transportation (DOT) regulations, then this case cannot be handled as a standard formal referral. Such an employee requires a “SAP Evaluation” as dictated by federal law. Please immediately contact the DOT rules specialist at LMS. Failure to do so will needlessly delay resolution of the case and may result in violations of DOT regulations. He/she can be reached at (513) 551-1500 or 1-800-733-0257.
- 8) The level of detail that you provide will greatly impact LMS’s ability to serve your organization and your employee with optimal success. Please provide as many specifics as you are able as to the history of the current problem(s), status of the situation at present, previous efforts made to remediate the situation, and potential consequences of employee’s failure to modify his/her behavior. Any current performance deficiencies should be described in specific terms. It may be helpful and/or necessary for you to attach supplemental documents in this regard.
- 9) Please fully detail any/all disciplinary action that is currently in effect.
- 10) Please thoroughly state, if applicable, the conditions that the employee must satisfy prior to regaining eligibility for duty. Remember, the EAP does not “clear” employees for duty or assess their fitness for duty. If this is confusing, please discuss the issue with one of our management consultants prior to making a referral.
- 11) Prior to directing the employee to call LMS, ensure that a meeting occurs in which the employee is given a copy of the completed formal referral form, permitted ample time to read it, and is asked, along with the referring supervisor, to sign it where indicated.
- 12) Fax both pages of the completed and signed formal referral form to (513) 551-1489.
- 13) Direct the employee to call (513) 551-1500 or 1-800-733-0257 to schedule an appointment within an agreed upon time frame.
- 14) The referring supervisor will receive a phone call from the LMS Formal Referral Coordinator once the employee has been scheduled, or 2 business days after we receive the formal referral form, whichever comes first.

- 15) When relevant, the Formal Referral Coordinator will contact you and provide you with the specific recommendations, if any, being made by the EAP regarding this employee. Most commonly, these recommendations will involve engagement by the employee with one or more medical and/or behavioral health and/or chemical dependency treatment providers. Remember, EAP's are not providers of treatment. We will assist the employee in connecting to these providers, but payment for any recommended services beyond the scope of the EAP is the responsibility of the employee.
- 16) The EAP will monitor the employee's compliance with any/all recommended intervention and will report said compliance to the referring supervisor.
- 17) Should any Formally Referred employee fail to keep 2 scheduled appointments with an EAP counselor, the EAP case regarding that employee will be closed and a written report of non-compliance will be forwarded to the supervisor of record.