



Employee Assistance Program

Program Manual

2020

Andrew M. Cuomo, Governor

Michael Volforte, Director

It is the policy of the state of New York to provide for and promote equal opportunity in employment and equal access to all programs and services without discrimination on the basis of age, race, color, national origin, sex, sexual orientation, gender identity, creed, military status, disability, marital status, domestic violence victim status, predisposing genetic characteristics, arrest record, previous conviction record, and any other status or condition protected by law.

Reasonable accommodations are available, upon request, in all aspects of state training, consistent with the Americans with Disabilities Act and the New York State Human Rights Law, to ensure that every individual is able to gain maximum benefit from the training experience.

The Employee Assistance Program is jointly funded through the negotiated agreement between the State of New York and the Civil Service Employees Association, Inc. and the negotiated agreement between the State of New York and the Public Employees Federation, AFL-CIO. Program administration and additional funding are provided by the New York State Governor's Office of Employee Relations.

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MISSION STATEMENT

The mission of the New York State Employee Assistance Program (EAP) is to assist NYS executive branch employees and their families in resolving work-related and personal problems in a confidential and professional manner in order to promote health and wellness at work and at home, and to assist agencies in maintaining a healthy and productive work place.

New York State Employee Assistance Program

Program Manual

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Chapter 1: EAP Program Overview

A. Introduction to Employee Assistance Programs

Employees are the most valuable asset in any organization. When employees are unable to function effectively in the workplace because of problems at work or at home, or because of everyday distractions, the cost to business, industry, and government in lost time, decreased productivity, medical expenses, low morale, turnover, and on-the-job accidents is estimated to be billions of dollars annually. Employee assistance programs (EAPs) are designed to help employees address their concerns so they can be more engaged and productive at work. Research studies have shown that EAP services can increase employee morale, improve productivity, and reduce many of the costs related to absenteeism and illness.

R. H. Macy and Co., the New York City department store, was one of the first employers to recognize the need to help its employees. In 1917, Macy's established one of the first EAPs in the country. By the 1940s, many more employers had established EAPs, based on the Alcoholics Anonymous model, to deal with alcoholism in the workplace. In the 1950s, EAPs expanded to address employee mental health issues. EAPs in the 1970s broadened their focus to address almost any personal or family concern. Today, EAPs offer assistance with an even wider range of issues, reflecting a changing world and a changing workplace. In addition, many EAPs offer employers consultation on workplace issues, training, wellness programs, and crisis response services.

B. New York State Employee Assistance Program

The New York State Employee Assistance Program (EAP) is a negotiated benefit for executive branch state employees designed to help employees and their family members deal with the many challenges that can impact their job performance, health, and personal well-being. EAP offers information, assessments, referrals, and support to address the everyday issues involved in juggling work and family as well as more serious problems. EAP services are confidential, voluntary, and at no cost to employees and their families.

The success of EAP is due, in large part, to labor and management having equal ownership of the program. Managers and union officials alike recognize that both parties benefit when employees get the help they need to resolve the issues that are distracting them at work. Management and the unions have long been supportive of EAP to improve employee productivity and engagement.

C. NYS EAP History

The first EAP for New York State employees was established in 1976 at nine Department of Mental Hygiene worksites in the Mid-Hudson Region. Funding for the program was provided through a grant from the Civil Service Employees Association (CSEA). The program was successful and quickly spread to other state agencies and facilities. In 1983, the State and its unions (CSEA, PEF, UUP, and Council 82, later joined by NYSCOPBA, DC-37, GSEU, and APSU) recognized the importance of

offering EAP services to employees and created the Statewide Labor/Management Employee Assistance Program Advisory Board to promote, support, and oversee EAP.

In 2004, EAP and the programs administered by the Family Benefits Program (FBP) were brought together under the umbrella of Work-Life Services (WLS) to help employees identify and access their benefits more easily. In addition, the EAP and FBP Advisory Boards were combined to form the WLS Advisory Board which oversees the WLS programs, sets general policy, and approves major program initiatives and expenditures.

D. NYS EAP Model

EAP is a peer assistance model. EAP services are provided by employees from state agencies who are selected from among their peers to serve as EAP coordinators. EAP coordinators understand the unique culture of their agencies and are familiar, approachable, and knowledgeable resources for other agency employees. There are currently over 250 full- and part-time EAP coordinators serving state employees at approximately 220 worksites throughout the State.

Each state agency has an EAP labor-management committee. The EAP committee is an integral component of the peer model. Committee members are responsible for promoting EAP services in their agencies and facilities and selecting the EAP coordinator. EAP coordinators are selected because they are compassionate, trustworthy, and committed to helping others.

E. NYS EAP Training

To ensure quality services, all employees serving as EAP coordinators receive ongoing training specific to their unique role in a peer model. This training prepares the coordinators to skillfully assess an employee's situation and make appropriate referrals to community and other resources. As new coordinators are assigned, they meet with the regional representative for an individual orientation and a review of the NYS EAP Program Manual. The new coordinators are also required to attend the New Coordinator Institute (NCI) which is designed to provide them with the basic skills needed to assess for domestic violence, the risk of suicide, substance abuse, and mental and physical health issues. Training content includes ethical requirements, insurance and benefit information, resource development, crisis response, and other information needed to begin assisting employees (see Chapter 6, EAP Training Program).

F. Labor-Management Collaboration and Commitment

New York State, CSEA, PEF, UUP, Council 82, NYSCOPBA, DC-37, GSEU and APSU all support EAP. They recognize their joint efforts result in a healthier and more productive workforce, and they are committed to EAP, its mission, and the program's goals including:

- Providing resources to help employees balance the demands of work and home
- Supporting the EAP committees and coordinators in fulfilling their responsibilities
- Promoting an awareness of EAP services
- Fostering collaboration between labor and management
- Supporting training for supervisors and union representatives on the early signs of work performance problems and the benefits of referring employees to EAP
- Providing orientations, training, workshops, seminars, and webinars for employees
- Providing crisis response services in the event of a critical incident
- Offering wellness programs to employees

G. Organizational Structure

EAP is a WLS program. Other WLS programs are the Pre-Retirement Planning program and the Network Child Care Centers program. The Governor's Office of Employee Relations (GOER) administers the WLS programs.

The EAP main office is based in Albany and consists of the EAP program manager, assistant program manager, training director, wellness coordinator, and support staff. The main office staff oversees the statewide EAP and manages the day-to-day operations of the main office and regional offices as well as EAP staff. EAP staff are employees of GOER.

EAP regional offices are in Albany (Capital Region), Brooklyn (New York City Region), Buffalo (Western Region), Hauppauge (Long Island Region), Lewis (Adirondack Region), Poughkeepsie (Mid-Hudson Region), Rochester (Rochester/Finger Lakes Region), Syracuse, (Central NY Region), and Utica (Utica/Binghamton Region). Regional offices are staffed by EAP regional representatives, and in some cases, support staff. EAP regional representatives serve as consultants to the EAP coordinators and committees and oversee the local EAP programs in their regions.

NYS EAP Office Locations and Contact Information

Main Office

Agency Building 2, 11th Floor, Empire State Plaza
Albany, NY 12223
(518) 486-9769 or (800) 822-0244
FAX: (518) 486-9796

<https://goer.ny.gov/employee-assistance-program>

Adirondack Region

Essex County Public Safety Bldg.
PO Box 494, 702 Stowersville Rd.
Lewis, New York 12950
(518) 873-3201 * Fax: (518) 873-3202

Capital Region

Corporate Plaza East, Suite 502
240 Washington Ave. Ext.
Albany, New York 12203
(518) 486-9769 * Fax: (518) 486-9796

Central NY Region

Hughes State Office Building
333 E. Washington St., Room 420
Syracuse, New York 13202
(315) 428-4824 * Fax: (315) 428-4717

Alternate location:

Dulles State Office Building
317 Washington Avenue, 6th Floor
Watertown, New York 13950
(315) 428-4824 * Fax: (315) 428-4717

Long Island Region

250 Veteran's Memorial Highway
Suffolk State Office Building
Room 2B-42
Hauppauge, New York 11788
(631) 992-7175 * Fax: (718) 923-4382

Mid-Hudson Region

Eleanor Roosevelt State Office Building
4 Burnett Boulevard
Poughkeepsie, New York 12603
(845) 431-5738 * Fax: (845) 431-5997

New York City Region

55 Hanson Place, Room 916
Brooklyn, New York 11217
(718) 923-4321 * Fax: (718) 923-4382

Rochester/Finger Lakes Region

1111 Elmwood Avenue, Room 104A
Rochester, New York 14620
(585) 241-1849 * Fax: (716) 847-3936

Utica/Binghamton Region

Utica State Office Building
207 S. Genesee Street, 9th Floor
Room 100
Utica, New York 13502
(315) 793-2518 * Fax: (518) 486-9796

Western NY Region

Electric Tower Building
535 Washington St., Suite 306
Buffalo, New York 14203
(716) 847-3911 * Fax: (716) 847-3936

Chapter 2: EAP Ethical and Legal Policies

A. Overview

EAP, in consultation with the Counsel's Office of the Governor's Office of Employee Relations (GOER), established the following ethical and legal policies to clarify EAP's mission, values, and principles and to foster high standards of professional conduct for EAP coordinators, committee members, and staff.

EAP coordinators or committee members who have an ethical or legal question regarding their role or responsibilities should discuss the issue with their EAP regional representative before taking any action. If the regional representative is not able to resolve the issue, the regional representative will contact the EAP program manager for guidance. EAP staff may also contact the EAP program manager for guidance. The program manager will seek the advice of the Counsel's Office at GOER if necessary.

B. Code of Ethics for NYS EAP Coordinators

All EAP coordinators are required to comply with the Code of Ethics for NYS EAP Coordinators:

1. Coordinators will maintain high standards of personal and professional integrity and ethics.
2. Coordinators will demonstrate honesty, respect, fairness, and accountability in their relationships with clients and colleagues.
3. Coordinators will provide clients with information, assessment, and referral services only. Coordinators will not provide treatment or counseling in their role as EAP Coordinator.
4. Coordinators will treat all client information as confidential and will refrain from discussing client information with anyone, including EAP committee members, without written authorization from the client.
5. Coordinators will explain the confidentiality policy to clients before engaging in any discussion of the client's personal situation or concerns.
6. Coordinators will maintain neutrality and avoid involvement in personal relationships or activities that conflict with or have the appearance of conflicting with their role in EAP.
7. Coordinators will not create or retain client records, except for the Consent for Release of Information form, unless specifically required by the terms of a discipline settlement agreement.

8. Coordinators will make referrals based on the best interest of the client and will not accept gratuities or be influenced by a reward of any kind when making a referral to a resource provider.
9. Coordinators will abide by law, Executive Orders, agency work rules, NYS EAP policies and procedures, and applicable provisions of the Public Officers Law and its regulations.
10. Coordinators will maintain accurate statistical data and will submit this information to their regional representatives in a timely manner.
11. Coordinators will promote equal access to all EAP programs and services without discrimination based on age, race, color, national origin, sex, sexual orientation, gender identity, creed, military status, disability, marital status, domestic violence victim status, predisposing genetic characteristics, arrest record, previous conviction record, and any other status or condition protected by law, rule, regulation or Governor's Executive Order.

C. Neutrality Policy

1. Policy Description

EAP recognizes the importance of maintaining a position of neutrality in all matters pertaining to the delivery of employee assistance services. EAP's success is dependent upon employee, management, and labor confidence that EAP will provide employee assistance services in an impartial manner.

2. Statement of Neutrality

Labor and management have jointly agreed upon the following statement of neutrality:

- a. EAP coordinators must not be perceived as advocates or representatives of either management or labor while providing EAP services or representing EAP. Instead, they should function as facilitators of communication among all parties. EAP coordinators should avoid involvement in any activity or relationship that would compromise or appear to compromise their neutrality as EAP coordinators.
- b. EAP committees must also strive to protect the integrity of the EAP by assuring that all EAP activities are provided in a neutral manner. It is recognized that labor and management representatives will bring different, and sometimes conflicting, perspectives and concerns to the EAP committee process. However, once an EAP committee reaches a decision on an issue, direction, activity, or event, members of the EAP committee are responsible for promoting the EAP and its activities in their agency or facility in an impartial and neutral manner. Only when the EAP is viewed as neutral will all parties accept it.

- c. At times, employees may be referred to EAP for work performance issues or as part of a return-to-work agreement. The role of the EAP coordinator is to provide the employee with information, an assessment, and a referral to one or more resources to address the employee's mental health, substance abuse, or other concerns. It is not to intervene in the discipline process or be an advocate for either the employee or the employer. EAP seeks only to support employees in understanding their situation and determining the best course of action for resolution of their problems.

D. Confidentiality Policy for EAP Coordinators

1. Policy Description

Maintaining confidentiality is one of the most important tenets of EAP and the foundation of the program. EAP coordinators must keep all information confidential unless the client has signed a *Consent for Release of Information* form or the information to be disclosed falls within one of three exceptions (see Appendix, *Consent for Release of Information*).

2. Exceptions to the Confidentiality Requirement

There are three exceptions to the confidentiality requirement:

- a. The information is required to be disclosed by law, Executive Order, or agency work rule.
- b. There is reasonable belief a client's conduct places the client or another person in *imminent* threat of bodily harm. Imminent threat is present if there is reasonable belief a client's conduct places the client or another person in *immediate* threat of physical harm.
- c. There is reasonable belief to suspect that child abuse has been, or will be, committed. This includes physical, emotional, and psychological abuse and neglect.

If you are unsure of any of the above limits to confidentiality, call your EAP regional representative.

Note: New York State only requires those working in adult protective services to report suspicion of elder abuse or neglect to law enforcement. EAP coordinators who suspect elder abuse or neglect should contact their regional representative to discuss whether a report to NYS Adult Protective Services is warranted.

3. Confidentiality Procedure

- a. The EAP Confidentiality Policy must be posted in the EAP office so that it is clearly visible to clients (see Appendix, *Confidentiality Poster*).

- b. The EAP coordinator must explain the policy on confidentiality to clients *before* engaging in any discussion of the client's problems, issues, or concerns.
- c. EAP coordinators and regional representatives must exercise reasonable and prudent judgment when deciding that a situation is excluded from the requirement of confidentiality.
- d. If there is a concern about confidentiality, coordinators should consult with their regional representative about whether information needs to be disclosed, and if so, how and to whom it will be disclosed, including reporting suspected child abuse or neglect to the NYS Child Abuse Hotline.

E. Consent for Release of Information

1. Policy Description

Clients may need the assistance of the EAP coordinator in contacting a resource provider, supervisor, human resources, union representative, labor relations, physician, family member, etc. In such instances, the client must sign a *Consent for Release of Information* form before the coordinator may share information with the designated person.

2. Examples of Situations Requiring a Consent for Release of Information form

- a. The client specifically asks the coordinator to contact another individual.
- b. The client is requesting treatment and asks the coordinator to call a resource provider to schedule an appointment.
- c. The client is about to be hospitalized or admitted to a rehabilitation program and is unable, emotionally or physically, to contact a supervisor, human resources department, union representative, or family member.
- d. The EAP coordinator wishes or is required to consult with the EAP regional representative or other EAP staff about the client, and the consultation requires identifying the client by name.
- e. A supervisor permits the client to visit EAP during work hours and requests confirmation that the client met with the EAP coordinator.

Note: The coordinator may only provide the supervisor with the date, time, and duration of the appointment unless the client specifically authorizes the release of additional information in writing.

- f. The client seeks the EAP coordinator's assistance to obtain information from the insurance provider who requires the client's name or other identifying information.

- g. The client is told by a resource provider that there is a long waiting period for an appointment, and the coordinator offers to contact the provider to facilitate an earlier appointment.

Note: If the provider is in the NYS health insurance network, the EAP coordinator should inform the Health Benefits Administrator (HBA) that obtaining timely appointments is an issue. The HBA may be able to intervene on behalf of the employee and can also follow up with the provider to address the issue.

3. Consent for Release of Information Procedures

- a. The *Consent for Release of Information* form must be kept in a locked file cabinet in the coordinator's EAP office until the expiration date specified on the form has passed or until revocation by the client.

Alternatively, the *Consent for Release of Information* form may be retained by the EAP coordinator in secure storage in the EAP office. The EAP coordinator thereby assumes responsibility for safeguarding its confidentiality and compliance with NYS records retention policies.

- b. Upon expiration or revocation of the *Consent for Release of Information* form, the form must be delivered by hand or by first class mail, marked "Confidential", to an EAP regional representative. The regional representative will forward the form to the EAP main office for storage per NYS records retention policies.
- c. When an EAP coordinator vacates the coordinator position and another EAP coordinator is not appointed to replace the coordinator, all *Consent for Release of Information* forms and other records must be delivered by the EAP coordinator to the EAP regional representative for secure storage.

F. Conflict of Interest: Relationships with Clients

1. Policy Description

To uphold the integrity of EAP and maintain high ethical standards, EAP coordinators must avoid inappropriate relationships, actual or apparent, with clients. When an EAP coordinator/client relationship has been established, any other relationship, such as a friendship, romantic involvement, outside social connection, family connection, or personal business involvement should be avoided. The coordinator must consult with the regional representative when a potential conflict of interest with a client exists.

2. Examples of Potential Conflicts of Interest

- a. Two employees in the same agency have been friends for many years. One of the employees is selected to be an EAP coordinator. A relative of the other employee calls to request EAP services.
- b. Two employees have been dating for a year. One employee is selected to be an EAP coordinator. The other employee's son is charged with DWI while home from college and calls the EAP coordinator for assistance.

3. Conflict of Interest Procedure

Where a friendship, romantic involvement, social, family, or business relationship already exists between an EAP coordinator and a potential client, any request for EAP services should be referred to another EAP coordinator. If a coordinator has a question about a referral, the coordinator should consult with the regional representative before providing EAP services to the potential client.

To protect the privacy and confidentiality of the client and the client's family, a coordinator should refrain from visiting an individual client in the hospital, attending a client's graduation ceremony, attending calling hours or a funeral for a client, providing a recommendation or reference for a client, etc., in the EAP coordinator role.

G. Conflict of Interest: Relationships with Resource Providers

1. Policy Description

EAP coordinators, committee members, regional representatives, and staff function in a very sensitive environment. Their impressions of resource providers govern the work they do with respect to the referral process. Care must be taken to ensure that referrals are not influenced by a reward of any kind when selecting or making a referral to a resource provider. To avoid potentially conflicting relationships with resource providers, EAP coordinators and committee members must adhere to the following standard regarding gifts.

Gift Prohibition

NYS Public Officers Law, Section 73, prohibits a state employee from directly or indirectly soliciting, accepting, or receiving any gift having more than a *nominal value* whether in the form of money, service, loan, travel, lodging, meals, refreshments, entertainment, discount, forbearance or promise when it could reasonably be inferred the gift was intended to influence the employee in the performance of official duties or was intended as a reward for any official action on the employee's part.

Note: Nominal value is considered to be less than fifteen dollars.

Pursuant to the regulations, however, EAP has adopted a more restrictive policy prohibiting coordinators and committee members from accepting *any* gifts from resource providers, including travel expenses, to avoid a conflict or the appearance of a conflict with the resource providers with the exception of food or beverage valued at \$15 or less per occasion. More specifically, EAP policy permits EAP coordinators and committee members invited, as part of a larger group, to tour a treatment facility to accept food or beverage valued at \$15 or less per occasion when the meal is offered to all the attendees.

2. Examples of Potential Conflicts of Interest

- a. An EAP coordinator is planning a wellness event. The EAP committee has secured an EAP grant to purchase promotional materials to be used at the event. The committee plans to purchase the promotional materials at a company where the coordinator's family member is employed.
- b. A speaker invited by EAP to do a lunchtime seminar about nutrition asks to sell copies of her diet book at the presentation.

3. Resource Provider Referral Procedure

The EAP coordinator's role is to assess the client's situation and refer the client to appropriate resources based on the client's needs.

- a. EAP coordinators must not refer clients to a resource provider that employs the coordinator, a coordinator's family member, or offers monetary rewards or incentives for such a referral.

Note: Where only one resource, such as a treatment facility, is available, and an EAP coordinator is employed by that treatment facility, the client may be referred to another staff at the facility but under no circumstances should the client be assigned to the coordinator. The coordinator should first discuss the referral with the regional representative.

- b. EAP coordinators should not endorse, promote, or recommend a specific provider or treatment facility.
- c. EAP coordinators should refer a client to at least two resource providers, preferably three, whenever possible.
- d. To avoid the appearance of impropriety or a potential conflict of interest, EAP coordinators should only visit or tour resource facilities within the same geographic region as the EAP coordinator's worksite. Visits outside of the coordinator's region are permitted only with the prior approval of the local EAP committee and the EAP regional representative.

H. Conflict of Interest: Coordinator Role

1. Policy Description

EAP coordinators should avoid any conflict or the appearance of a conflict with their roles as EAP coordinators. Coordinators must not be perceived as advocates or representatives of either management or labor while providing EAP services or representing EAP. Their role is to provide information, assessments, and referrals, and to serve as facilitators of communication among all parties. Coordinators must avoid involvement in any activity that would compromise or appear to compromise their neutrality as EAP coordinators.

2. Coordinator Restrictions

a. EAP coordinators may not serve as:

- Union officials
- Shop stewards
- Affirmative action officers
- Staff in a personnel or human resources function
- Domestic violence liaisons

If a candidate for the coordinator position already holds one of the above positions, the candidate may be considered for the coordinator position if the candidate agrees to relinquish the other position if selected.

- b. EAP coordinators, committee members, regional representatives, and EAP staff are not permitted to sell or promote services or products to EAP clients in which the coordinator, committee member, regional representative, or EAP staff has a financial or other interest.
- c. EAP coordinators must not promote or refer EAP clients to their private practices.
- d. EAP coordinators should not be involved in the leave donation process including the solicitation of leave donations on behalf of an employee.
- e. EAP coordinators are not authorized to grant leave of any kind, including leave under the Family and Medical Leave Act (FMLA) and New York State's Paid Family Leave (PFL).

I. Transportation of Clients

1. Policy Description

EAP does not permit EAP coordinators to transport clients to treatment facilities or other locations under any circumstances. This policy is designed to ensure the safety of both EAP coordinators and clients.

2. Transportation Procedures

- a. Coordinators should be knowledgeable about transportation options and assist clients in securing public transportation or transportation from family members, friends, agency personnel, medical personnel, or law enforcement, if necessary.
- b. Coordinators should be knowledgeable about their agencies' policies regarding transportation of employees. If directed by the agency to provide transportation for a client, the coordinator must advise the agency that the coordinator can do so only as an employee of the agency and not in the role of an EAP coordinator.

J. Home Visit Prohibition

1. Policy Description

EAP does not permit EAP coordinators to meet with clients in either the client's or the coordinator's home under any circumstances. This policy is designed to ensure the safety of both EAP coordinators and clients.

2. Proper Meeting Locations

- a. Whenever possible, EAP coordinators should meet with clients in the coordinator's EAP office or an alternative location at the worksite that provides for the safety of both the coordinator and the client and meets the need for privacy and confidentiality.
- b. A coordinator may meet with a client in a public location if private space is not available at the worksite, or at the request of the client. However, because of privacy, confidentiality, and safety concerns, it is preferable for the coordinator to refer a client to an EAP coordinator at another agency or facility as an alternative to meeting in a public location.
- c. The coordinator must make every effort to protect the client's privacy and confidentiality regardless of the location of the meeting.

K. Subpoenas

1. Policy Description

EAP maintains strict confidentiality of client information. However, information may be released in response to a subpoena in a legal proceeding.

A subpoena is a judicial process that requires production of testimony or documents and gives a court the power to order a person to appear in person in a judicial proceeding or to submit relevant documents. Refusal to respond to a subpoena

issued by a court may result in contempt of court charges being filed. The person refusing to comply may have to pay damages or a fine.

Since the only written record permitted to be retained by an EAP coordinator, excluding information obtained in conjunction with a discipline settlement, is the Consent for Release of Information form, no other documents should be available in response to a subpoena of documents.

2. Subpoena Procedures

When an EAP coordinator receives a subpoena, the coordinator must contact the EAP regional representative immediately. The regional representative will contact the program manager who will consult with the Counsel's Office at GOER regarding a response. The coordinator should also contact the Counsel's Office for the coordinator's agency or facility, who may wish to consult with the Counsel's Office at GOER. A reasonable effort should be made to notify the client in advance of any information or records being released.

L. Media Communications Policy

1. Policy Description

Effective communication between EAP and the media is important to promote an understanding of EAP, raise awareness of the program, educate employees about EAP services, ensure accurate information is conveyed, and celebrate important events related to EAP.

2. Media Communications Procedures

a. Requests from the Media

Coordinators may periodically receive requests from the media for interviews, comments, or information about EAP. Such requests should be referred to the Public Information Officer (PIO) for the coordinator's agency as well as the EAP regional representative. The regional representative will review the request with the EAP program manager and GOER's PIO if necessary. GOER's PIO, who serves as the liaison between GOER, the Governor's Press Office, and the media, can work with the PIO for the coordinator's agency to coordinate an appropriate response to the media's request.

b. Information Disseminated by EAP

Coordinators who wish to publicize a significant achievement, activity, or event related to EAP should discuss their intentions with their regional representatives. The regional representatives will consult with the program manager and GOER's PIO if necessary. In addition, coordinators must follow their own agencies' media communications policies, including obtaining all necessary releases for photos.

M. Funding for EAP Activities

EAP is a negotiated benefit funded through the negotiated agreements between the State and CSEA, PEF, UUP, C-82, DC-37, NYSCOPBA, GSEU and APSU. GOER provides funding for employees designated management-confidential. These funds support EAP training, grants, wellness, the Certified Employee Assistance Professional (CEAP) credentialing program, new initiatives, staffing, and the day-to-day operations of EAP. In addition, some agencies and facilities allocate funds for their local EAP programs. These funds are generally used to fund activities not eligible for funding by EAP such as the purchase of food for a “meet and greet”, T-shirts for a walking program, or a speaker for a seminar.

EAP committees are encouraged to request that their agencies or facilities allocate funds for EAP in their annual budgets. If agency or facility funding is not available and an EAP committee chooses to engage in fundraising, the committee should first obtain approval from management or human resources. All fundraising activities must be sanctioned by the agency or facility. In general, fundraising should support EAP’s mission, and the proceeds from fundraising should benefit the agency’s or facility’s employees.

1. Retention and Disbursement of EAP Funds

The EAP committee should ensure the transparency and accountability of any fundraising activities. Funds raised must be deposited in a designated account and there must be a complete and accurate accounting of all EAP funds by the EAP committee. The committee should consult with their agency’s or facility’s fiscal officer to determine how the funds should be retained. Under no circumstances should EAP committee members or the EAP coordinator retain funds for EAP in a personal bank account. All money collected through fundraising must be dispersed properly and timely.

The EAP committee has the sole authority to approve spending of EAP funds. Decisions with respect to collecting and spending the funds must be recorded as part of the official EAP committee meeting minutes. Funds must be retained and spent in accordance with all state procurement laws, rules, and regulations as well as agency or facility policies and procedures.

Note: Fundraising within the New York State office buildings must be authorized by the Office of General Services (OGS).

2. Fundraising by the Coordinator

EAP coordinators may *not* solicit, collect, or retain funds, or make any decisions regarding the disbursement of any EAP funds. This policy is designed to protect the neutrality of the coordinator and EAP and the confidentiality of clients.

Note: This policy is not intended to include the NYS Employee Federated Appeal (SEFA) Campaign if the agency has assigned the EAP coordinator this responsibility.

3. Disclaimer Statement

The State of New York through EAP or GOER is not responsible for the administration or reimbursement of any proceeds resulting from fundraising activity by the EAP committees or the EAP coordinators.

Chapter 3: EAP Structure, Roles, and Responsibilities

A. Overview

EAP programs have been established in agencies and facilities throughout the state to oversee the delivery of EAP services to employees. A local EAP program consists of an EAP labor-management committee and one or more EAP coordinators. EAP regional representatives oversee the local EAP programs and manage the EAP regional offices. The Governor's Office of Employee Relations (GOER) administers the EAP program and along with the Work-Life Services (WLS) Advisory Board, a statewide labor-management committee, sets policy and provides direction for EAP.

The essential components of a successful local EAP program include the following:

EAP Committee

Represents both labor and management; promotes EAP services to employees; makes recommendations regarding selection of the EAP coordinator; and supports and oversees the EAP coordinator's activities.

EAP Committee Chairperson

Provides leadership to the EAP committee and facilitates committee meetings; supervises the EAP coordinator with input from the EAP committee; and serves as the liaison between the regional representative and the agency or facility.

EAP Coordinator

Provides information, support, confidential assessments and referrals, and other EAP services to employees in a neutral manner; and provides training and consultation on workplace issues to agencies and facilities.

EAP Regional Representative

Manages the regional office; oversees local EAP programs; and provides consultation, training, and other support to local EAP committees, chairpersons, coordinators, management, and the unions.

Council of Coordinators

A forum in which EAP coordinators can discuss the issues and concerns of their regions and receive feedback and guidance from EAP staff.

Work-Life Services Advisory Board

The labor-management committee that oversees WLS programs, including EAP; and provides support, guidance, and direction to the WLS programs.

NYS EAP

The labor-management committee that oversees local EAP programs and the delivery of EAP services statewide and manages the staff and day-to-day operations of EAP.

Management

Appoints EAP coordinators and management representatives to the EAP committee and promotes and supports EAP.

Unions

Appoints union representatives to the EAP committees and promotes and supports EAP.

B. EAP Committee

1. Role

The local labor-management EAP committee makes recommendations regarding the selection of the EAP coordinator and supports and supervises the EAP coordinator. The EAP committee also promotes the EAP program, oversees the delivery of EAP services to employees, and develops initiatives and programs to improve the well-being of employees, employee morale, and productivity in the workplace.

2. Committee Organization

- a. The first step in establishing a local EAP program is to form an EAP committee with representatives from labor and management. EAP regional representatives can assist in establishing new committees and in rejuvenating existing committees.
- b. The EAP committee should represent both the unions and management and members should be knowledgeable about the culture of the agency or facility and the perspective of the constituency they represent.
- c. Management and each union in the agency or facility have equal representation on the committee and select their own representative(s).
- d. The committee should have at least three members. It is recommended the committee have no more than twelve members.
- e. The EAP committee should have enough authority to ensure committee decisions will be acceptable to the unions and management.
- f. The EAP committee should work collaboratively with other agency committees, such as the wellness committee or the employee engagement committee but should avoid merging with another committee to protect the

integrity of the labor-management EAP committee model and the neutrality of EAP.

- g. Committee members may serve as union officials, shop stewards (or the equivalent), in the personnel or human resource function, or as Affirmative Action officers, or domestic violence liaisons but must avoid any conflict of interest when doing so.
- h. The EAP committee is not a grievance or negotiation committee and should not function as one.

3. Responsibilities

- a. Committee members must attend *EAP New Committee Member Orientation* and are encouraged to attend other training offered to committee members such as NYS EAP webinars. Committee members may not attend EAP training for EAP coordinators.
- b. Committees must establish and adhere to bylaws (see Appendix, *Bylaws for Local EAP Committees*). Bylaws should be reviewed annually and must establish, at a minimum, standards for meeting frequency, attendance, recording minutes, voting procedures, elections, and terms of officers.
- c. Committee members are expected to attend and actively participate in regularly scheduled EAP committee meetings. Committees should meet at least quarterly and are encouraged to meet more frequently. When committee meetings are canceled, they should be rescheduled as soon as practical.
- d. The committee should ensure the EAP coordinator participates in committee meetings except when excused during executive session. The EAP coordinator is a nonvoting member of the EAP committee.
- e. The committee should elect a chairperson. The chairperson position may rotate so that all committee members have an opportunity to serve, or the committee can elect to have co-chairpersons or a vice-chairperson.
- f. The committee may select a secretary and other officers as deemed necessary by the committee.
- g. A secretary or other designated committee member must take minutes at each meeting and distribute them to all committee members and the EAP regional representative before the next meeting (see Appendix, *EAP Committee Meeting Minutes Outline*).
- h. Decisions of the committees must be reached through consensus.

4. Ethical Guidelines

- a. The EAP committee should be responsive to the needs of both labor and management and a source of constructive and positive labor-management relationships.
- b. Committee members must not act in the role of the EAP coordinator. They are not trained to provide EAP assessment and referral services, and they should refer all such requests to an EAP coordinator.
- c. Committee members must not request that the EAP coordinator share confidential information with them or disclose any confidential information they receive while serving in their role as EAP committee members.
- d. EAP committee members must avoid involvement in activities or relationships that conflict with or have the appearance of conflicting with their role in EAP.
- e. The EAP committee must not advocate for a particular resource provider to be used for client referrals.
- f. The EAP committee must ensure EAP services are delivered in an impartial and neutral manner.
- g. EAP committee members must promote equal access to all EAP programs and services without discrimination based on age, race, color, national origin, sex, sexual orientation, gender identity, creed, military status, disability, marital status, domestic violence victim status, predisposing genetic characteristics, arrest record, previous conviction record, and any other status or condition protected by law, rule, regulation or Governor's Executive Order.
- h. The EAP committee should be familiar with the agency's or facility's crisis response policy and the role of EAP in a crisis as outlined in the policy.

5. Selection of the EAP coordinator

- a. The EAP committee, in consultation with the EAP regional representative and the agency's or facility's human resources or personnel director, oversees the posting for a coordinator vacancy and interviews potential candidates. The regional representative can provide a sample coordinator posting and should review any coordinator posting provided by the agency.
- b. The committee may appoint a subcommittee to screen applicants and conduct the interviews.
- c. The committee must come to a consensus on the best candidate(s), preferably at least two candidates, and forward its recommendation to the appointing authority for final approval.
- d. The committee must notify the regional representative of the selection and arrange for orientation and training of the new coordinator.

- e. The committee should notify candidates who were not selected of the committee's decision.

6. EAP Coordinator Support and Evaluation

- a. The committee should assess the needs of the coordinator, including release time, office space, cell phone, computer, internet service, travel, and professional development, and make appropriate recommendations to the appointing authority.
- b. The committee should review the EAP coordinator's statistical report monthly and other reports as necessary (see Appendix, *Coordinator Statistical Report*). Committee members are *not* entitled to any information about individual client contacts.
- c. The committee should evaluate the coordinator annually (see Appendix, *EAP Coordinator Evaluation*).
- d. The committee should create an annual report, with input from the coordinator and EAP regional representative, and distribute the report to stakeholders. A copy of the annual report should be provided to the EAP regional representative.

7. Promotion

- a. Committee members should promote EAP to both labor and management at meetings, other events, and on the agency's or facility's intranet.
- b. Committee members should participate in EAP promotional events as schedules permit.
- c. The committee should promote *EAP Training for Supervisors* and advocate for the training to be presented to agency or facility supervisors to explain the benefits of EAP and how to make referrals to EAP.
- d. The committee should take a leadership role in other promotional activities such as:
 - Lunchtime programs
 - Newsletters
 - Health fairs and benefit fairs
 - Wellness programs
 - Information days
 - "Meet and greets"
 - Websites and other technologies
 - Distribution of brochures and flyers
 - Celebration of EAP month (November)
 - Open house
 - Bulletin boards
 - Poster campaigns

- Paycheck mailers
- Agency calendars
- EAP lending library

Committee members frequently hear about union and management issues. They are encouraged to convey such information to the committee, so the committee can address the issues with orientations, training, workshops, or other activities.

Committee members should actively promote participation by all employees in EAP sponsored events. EAP coordinators and regional representatives can assist in planning and promoting EAP activities and events, and EAP grants are available to purchase promotional items (see Chapter 7, EAP Grant Program).

C. EAP Committee Chairperson

1. Role

The EAP committee chairperson provides leadership to the local EAP committee, ensures committee compliance with EAP policies, procedures, and committee bylaws, oversees the promotion of EAP, and supports and supervises the EAP coordinator.

Where inappropriate or prohibited for the chairperson to supervise the coordinator due to the grade levels or workplace relationship (ex., supervisor and supervisee; a relative; or co-workers in the same unit), the committee may elect to have another committee member or manager serve as the coordinator's supervisor. This should be done in consultation with the chairperson and regional representative, and if necessary, the human resources department. See Chapter 5 for more information about coordinator time and attendance.

2. Responsibilities

- a. Comply with all EAP policies and procedures and act in a professional and ethical manner.
- b. Maintain regular contact and open communication with the EAP coordinator.
- c. Facilitate regularly scheduled committee meetings and special meetings when necessary.
- d. Develop an agenda for committee meetings. Ensure meeting minutes are
- e. recorded and distributed before the next committee meeting and a copy is sent to the EAP regional representative.
- f. Serve as a liaison between the EAP committee and the EAP regional representative.

- g. Participate in the selection or dismissal of the EAP coordinator in consultation with the regional representative and human resources personnel and other managers if necessary.
- h. Promote the training needs of coordinators and committee members, ensure coordinators comply with EAP mandatory training requirements, and advocate for additional release time as needed.
- i. Review and approve, if appropriate, all EAP training and related travel requests from the coordinator.
- j. Review the coordinator's monthly statistical report, approve EAP grant applications, and conduct annual coordinator evaluations in consultation with the committee.
- k. Complete an annual report for EAP and disseminate the report to stakeholders.
- l. Oversee the implementation of EAP promotional events and wellness initiatives, delegating responsibilities as appropriate.

D. EAP Coordinator

1. Role

The EAP coordinator provides information, assessments, referrals, and support to employees and their family members. In addition, the EAP coordinator serves as a resource to agencies and facilities for addressing workplace issues, including responding to crises.

2. Responsibilities

- a. Act in a professional and ethical manner and comply with the Code of Ethics for EAP Coordinators (see Chapter 2, B., Code of Ethics for NYS EAP Coordinators) and all EAP policies and procedures.
- b. Maintain confidentiality except when authorized or legally obligated to disclose information.
- c. Maintain neutrality and avoid involvement in any activity that would compromise or appear to compromise neutrality.
- d. Conduct assessments that are consistent with EAP Assessment Guidelines (see Appendix, *Assessment Guidelines*).
- e. Create and maintain a resource file of local, state, and national resources, both public and private, and be familiar with those resources, including fees and eligibility requirements.

- f. Be knowledgeable about health insurance benefits and other negotiated benefits for state employees, including the WLS programs.
- g. Maintain regular contact and open communication with the EAP regional representative and committee chairperson.
- h. Attend the New Coordinator Institute (NCI) and all mandated EAP professional development training.
- i. Complete a monthly statistical report and submit it to the EAP regional office by the first day of the month following the month for which the data is reported. A copy of the report should be submitted to the committee chairperson.
- j. Attend EAP committee meetings, report monthly statistics, and provide input on current issues to the committee.
- k. Collaborate with the EAP regional representative to provide orientations and training for supervisors, management, union representatives, and employees.
- l. At the request of an employee, arrange a return-to-work meeting when an employee has been out of work for an extended period.
- m. Assist the agency or facility with developing a response to critical incidents in the workplace. This may include a needs assessment, referrals to community crisis response services, such as hospice and the Red Cross, monitoring the situation, policy development, training, and meeting with individual employees to provide assessment and referral services.
- n. If eligible, obtain the Certified Employee Assistance Professional (CEAP) certification.
- o. Provide backup coverage for other EAP coordinators based on availability and need.
- p. Assist with other committee activities as requested.

E. EAP Regional Representative

1. Role

EAP Regional representatives are employees of GOER. They manage the regional offices and supervise support staff, oversee local programs in their regions, and serve as consultants to the local EAP committees and coordinators. They are *not* supervisors of either EAP coordinators or committee members.

2. Responsibilities

- a. Comply with all GOER and EAP policies and procedures.
- b. Maintain open communication with unions, management, and other stakeholders.
- c. Serve as a consultant to supervisors, union representatives, and managers to help them address workplace issues related to EAP.
- d. Serve as liaison between the EAP main office staff and EAP coordinators, committee members, and other stakeholders.
- e. Provide oversight to EAP committees and coordinators.
- f. Assist with establishing new EAP committees and multi-agency committees and rejuvenating existing committees.
- g. Attend all EAP committee meetings and special meetings in person or by phone unless unable to do so because of a scheduling conflict.
- h. Monitor local programs and assist in addressing coordinator and committee vacancies, EAP policy issues, release time issues, training attendance, grant questions, and other issues that may be affecting the local EAP.
- i. Provide guidance to the EAP committee regarding the selection process for a new coordinator including posting, interviewing, and making a recommendation to the appointing authority.
- j. Monitor new coordinators and serve as a mentor for inexperienced coordinators.
- k. Provide guidance to coordinators on sensitive or complicated situations, including those that involve exceptions to the confidentiality policy.
- l. Conduct regular business meetings for coordinators.
- m. Provide orientation to new coordinators, committee chairpersons, and committee members.
- n. Ensure coordinators and committee members adhere to EAP policies and procedures.
- o. Facilitate training for coordinators and annual training for committee members.
- p. Promote and deliver *EAP Training for Supervisors* and assist coordinators in delivering the training to agencies and facilities.

- q. Assist agencies and facilities in developing a crisis plan and planning a crisis response in the event of a critical incident.
- r. Assist coordinators and committees in applying for EAP grants and review and approve grant applications to ensure compliance with the grant guidelines.
- s. Provide guidance to committees on planning and promoting seminars, workshops, wellness programs, and other training.
- t. Be knowledgeable about health insurance benefits and other negotiated benefits available to state employees, including the WLS programs and advise coordinators how to help employees understand the complexities of these negotiated benefits.
- u. Be knowledgeable about resources and provide guidance to coordinators on how to identify resources and establish a resource file.
- v. Complete all reports in a timely manner.

F. Council of Coordinators

1. Role

The Council of Coordinators (the Council) is a forum in which coordinators from each EAP training region raise and discuss issues of interest and concern to the coordinators in their regions with the statewide EAP program management.

The Council is comprised of two EAP coordinators and one alternate EAP coordinator from each of the EAP training regions. Council members are nominated and elected by their peers to serve on the Council for a two-year term. They may be reelected to serve additional terms.

Before accepting a term on the Council, prospective Council members are responsible for obtaining approval from their supervisor for the additional release time and travel required to fulfill their Council responsibilities.

2. Responsibilities

- a. Attend a minimum of three regional EAP coordinator business meetings per year to seek input from coordinators about issues and concerns to share at the Council meetings.
- b. Submit agenda items from the region's coordinators to the EAP main office for the Council meetings.
- c. Attend all Council meetings unless unable to because of a scheduling conflict or travel restrictions. Council members may not be absent from more than one regularly scheduled Council meeting annually.

- d. Serve on special Council subcommittees or work groups as needed and as schedules permit.

G. Work-Life Services Advisory Board

1. Role

The Work-Life Services (WLS) Advisory Board (the Board) is the statewide labor-management committee that oversees EAP as well as the other Work-Life Services programs. The Board is an important source of constructive relationships between the unions and management and an important resource for furthering the mission of EAP.

The Board provides a forum for the discussion of issues impacting employees statewide with the common goal of resolving workplace issues, maintaining a productive work environment, and enhancing the well-being of employees. The Board reviews and recommends EAP policies, approves major EAP initiatives and expenditures, and provides support and guidance to ensure the successful operation of EAP.

2. Responsibilities

- a. Support and promote EAP along with other WLS programs.
- b. Recommend and approve policies and initiatives to improve the WLS programs.
- c. Review the budgets for the WLS programs and make recommendations for appropriations.
- d. Analyze data and review reports for the WLS programs to identify issues
- e. needing attention as well as best practices.
- f. Attend WLS Advisory Board meetings unless unable to because of a scheduling conflict.
- g. Serve on special WLS Advisory Board subcommittees or work groups as needed and as schedules permit.

H. NYS EAP

1. Role

NYS EAP is the statewide labor-management committee that oversees the day-to-day operations of EAP and the delivery of EAP services to executive branch employees throughout the State. EAP services are a negotiated benefit funded through the bargaining agreements between the State and the unions. The

Governor's Office of Employee Relations (GOER) shares oversight of EAP with the WLS Advisory Board.

2. Responsibilities

- a. Oversee and direct the statewide EAP.
- b. Promote an understanding and acceptance of EAP among employees, unions, management, and other stakeholders.
- c. Establish policies and procedures for the effective operation of EAP.
- d. Develop goals and objectives for EAP and gain support from stakeholders.
- e. Maintain regular and positive communication with management and union leaders.
- f. Provide support, guidance, and supervision for EAP staff.
- g. Oversee the operation of the EAP main office and the regional offices.
- h. Ensure the neutrality of EAP, its staff, coordinators, and committee members.
- i. Ensure the confidentiality of employee assistance services and the privacy of EAP clients.
- j. Manage training initiatives and provide training opportunities for coordinators, committee members, EAP staff, and when requested, management, unions, and other state employees.
- k. Administer the EAP Grants program.
- l. Oversee the promotion and marketing of EAP and develop and disseminate promotional materials.
- m. Maintain a comprehensive data collection system and provide regular reports to stakeholders.
- n. Enhance the professionalism of EAP by establishing and maintaining professional standards for EAP staff, coordinators, and committee members.
- o. Encourage professional development opportunities, such as the Certified Employee Assistance Professionals (CEAP) certification.
- p. Collaborate with regional representatives, committees, management, unions and the WLS Advisory Board to address issues having a negative impact on local EAP programs.

- q. Evaluate EAP policies, procedures, programs, and services to identify best practices and implement program improvements.

I. Management

1. Role

The success of EAP is dependent upon the support of management. When management communicates its support for EAP and actively promotes EAP services to employees, EAP can be an effective resource for both employees and managers. EAP helps employees learn how to cope with stress, improve their health, and perform better, and assists managers by promoting a positive work environment and a more resilient and productive workforce.

2. Responsibilities

- a. Promote EAP services and the EAP coordinator to *all* employees.
- b. Respect the confidentiality and neutrality of EAP.
- c. Ensure coordinators and committee members have enough release time to fulfill their EAP responsibilities in addition to their regular job assignment.
- d. Appoint one or more management representatives to the EAP committee who represent management's interests and who will demonstrate their commitment to furthering the mission of EAP through regular attendance at committee meetings.
- e. Appoint management representatives to the EAP committee who have enough authority to ensure committee decisions will be acceptable to management
- f. Ensure management representatives on the EAP committee understand the intent is to focus on the mission of EAP and not to use the committee for a forum to address labor-management issues. Refrain from using appointments to the EAP committee to promote the agency's or the facility's political interests.
- g. Work cooperatively with the unions to foster the goals and objectives of EAP.

J. Agency

1. Role

Agencies create an environment in which EAP can be successful by ensuring employees are aware of EAP services and by supporting the EAP committee and the EAP coordinator. Support includes providing coordinators with the resources they need to provide effective EAP services. These include adequate release time,

private office space, a phone, computer or laptop, and internet service. Agencies also support EAP by ensuring committee members have adequate release time, appropriate meeting space, and open communication with agency leadership.

2. Responsibilities

Agencies are responsible for allocating resources for the coordinator and committee members, including the following:

- a. Adequate release time to fulfill the EAP coordinator's role and responsibilities, and for committee members, adequate release time to attend committee meetings.
- b. Private office space for the EAP coordinator (not a cubicle), suitable for confidential interviews. The office should not be near the human resources or personnel offices.
- c. Office furniture and equipment, phone, computer, and internet service.
- d. Standard EAP business cards.
- e. Office supplies, including postage.
- f. Transportation costs related to attendance at EAP training programs for coordinators including the New Coordinator Institute (NCI), and transportation costs for committee members to attend committee meetings.
- g. Telephone or cell phone expenses, including voice mail.
- h. Mailing and printing expenses.
- i. Expenses for professional development training, journal subscriptions, and memberships are not required, but may be considered.

K. Unions

1. Role

The unions play a major role in the perception and acceptance of EAP, and their longstanding support for EAP has been vital to the program's success. The collaborative relationship between the unions and EAP encourages employees to seek help for a wide range of concerns that may be affecting their job, health, or personal well-being. The result is a more positive and productive employee and a more productive work environment.

2. Responsibilities

- a. Promote the local EAPs and EAP coordinators to the union's membership.

- b. Respect the confidentiality and neutrality of EAP.
- c. Appoint one or more union representatives to the EAP committee who represent the union's interests and who demonstrate their commitment to furthering the mission of EAP through regular attendance at committee meetings.
- d. Ensure union representatives on the EAP committee understand the intent is to focus on the mission of EAP and not to use the committee for a forum to address labor-management issues. Refrain from using appointments to the EAP committee to promote the union's political interests.
- e. Work cooperatively with management to foster the goals and objectives of EAP.

Chapter 4: EAP Coordinator Basics

A. Overview

This chapter describes some of the basic tasks of an EAP coordinator and how to perform them including how to conduct an assessment, make a referral, and arrange a return-to-work meeting. It describes the coordinator's role in the discipline process, the importance of staying in touch with the regional representative, documenting a critical incident, and basic training tasks. Not all the tasks of an EAP coordinator are described in this chapter. Coordinators should refer to the appropriate chapters of this Program Manual for specific policies and procedures related to fulfilling all the responsibilities of an EAP coordinator.

B. Information, Assessment, and Referral

1. Policy Description

The primary responsibility of EAP coordinators is to provide assessments and referrals for employees and their family members to help them resolve issues that are adversely affecting their work or their personal lives. Coordinators must provide assessments and referrals in a confidential and neutral manner. They are neither an advocate for clients nor an advocate for the employer. Their role is to help clients identify and explore their options.

Employees may also contact EAP simply to request information about topics such as summer camps, college financial aid, smoking cessation, AA meetings, how to find respite care, or stress. Coordinators should keep in mind that a request for information may be the employee's first introduction to EAP and that this is an opportunity to promote EAP services.

2. Procedure

EAP is a negotiated benefit for Executive Branch state employees.

a. Eligibility

- 1) Employees and their family members
- 2) Employees who have been laid off
- 3) Employees who have left state service are eligible for EAP services for 30 days after leaving state service

- b. The EAP coordinator may not initiate contact with an employee even if the referral is made by the employee's supervisor. Participation in EAP is voluntary. Whether the referral to EAP is made by a supervisor, co-worker, family member, union representative, human resources or labor relations

personnel, or other concerned person, the employee must initiate the first contact with EAP.

- c. If a supervisor asks an EAP coordinator to contact an employee, the coordinator should explain that EAP is a voluntary program and that coordinators cannot reach out to employees. The coordinator should suggest the supervisor refer the employee to EAP directly.

Note: If the coordinator spends a significant amount of time listening to the supervisor's concerns, explaining how to make a referral, and encouraging the supervisor to refer the employee to EAP, or otherwise educates the supervisor about EAP services or assists the supervisor, the contact can be considered a "supervisor consult" for reporting purposes.

- d. EAP coordinators should not retain any records related to clients. A coordinator may, however, temporarily retain a client's contact information to facilitate scheduling an appointment or following up with a client. This information should be retained in a locked file cabinet, or otherwise secured, and destroyed as soon as practical.
- e. The EAP coordinator should respond to client contacts within 24 hours, excluding weekends and holidays and arrange a mutually convenient time to meet with the client if necessary.
- f. The EAP coordinator must explain EAP's confidentiality policy to the client before beginning an assessment. The coordinator must inform the client that all information will remain confidential with the following exceptions:
 - 1) Information is required to be disclosed by law, Executive Order, or agency work rule.
 - 2) There is reasonable belief a client's conduct places the client or another person in *imminent* threat of bodily harm. Imminent threat is present if there is reasonable belief the threat is *immediate*.
 - 3) There is reasonable belief to suspect that child abuse has been, or will be, committed. This includes physical, emotional, and psychological abuse and neglect.

Note: If information is required to be disclosed, the coordinator should consult with the EAP regional representative as soon as possible to obtain guidance, including guidance on reporting child abuse to the NYS Child Abuse Hotline and information about reporting elder abuse or neglect. If the coordinator is unable to contact the regional representative immediately, the coordinator should do so as soon as practical after making a report.

- g. The coordinator should complete an assessment with the client, allowing sufficient time for the client to discuss any problems or concerns (see

Appendix, Assessment Guidelines). Coordinators should assure clients that notes taken during the meeting will be destroyed in the client's presence or given to the client and are taken only to aid in the assessment process.

- h. The coordinator should assess the client's needs based on the information provided by the client in the interview. Generally, the coordinator completes the assessment in the initial meeting. Occasionally, more than one meeting may be necessary. This should, however, be the exception rather than the rule. EAP coordinators must not provide counseling or engage in an ongoing relationship with the client. Clients requiring more in-depth assistance should be referred to a professional counselor or other resource.
- i. The coordinator should identify appropriate referral options for the client. Some factors to consider:
 - Client's financial situation and insurance coverage
 - Location of resource providers and proximity to the client
 - Client preferences (ex. gender, language)
 - Appropriateness of resources for the client's needs
 - Availability of the provider (ex. evenings, weekends)
 - Special needs (ex. interpreter services for a hearing-impaired client)

Note: The services of an interpreter for a hearing-impaired client are expected to be provided by the client's agency or facility. If, however, a client requests the services of an interpreter and the client's identity would be compromised by requesting services from the agency or facility, the coordinator can ask the regional representative to arrange for EAP to provide interpreter services for the client. EAP will pay the cost of these services.

- j. Coordinators must know and respect the limits of their knowledge. If a coordinator does not have the answer to a client's question or needs to research a referral, the coordinator should establish a time frame and an acceptable way for the coordinator to contact the client, such as permission to leave a message or call a cell phone.
- k. The coordinator should provide the client with the names of at least two referrals, preferably three, including a referral to the client's health insurance provider, if applicable. The client can accept or decline the referral options presented.

Note: In order to maintain neutrality and avoid conflicts of interest when making referrals, coordinators are not permitted to accept gifts from resource providers (see Chapter 2, EAP Ethical and Legal Policies, G. Gift Prohibition).

- I. If the client asks the EAP coordinator to contact anyone, the client must give written consent to release any information (see Appendix, *Consent for Release of Information*). If someone contacts the coordinator, for example, a supervisor calls to request information about the client, the coordinator may not provide any information without a *Consent for Release of Information* form signed by the client.

The client must sign a separate *Consent for Release of Information* form for each person with whom the coordinator is authorized to speak. When asked for information about a client and the coordinator does not have a signed *Consent for Release of Information* form, it is suggested the coordinator say, "I can neither confirm nor deny (name of client) was or is a client of EAP."

- m. If a client meets with the EAP coordinator during work time, i.e., "on the clock", the coordinator should ask if the client's supervisor requested confirmation of the client's appointment. If so, the client should sign the appropriate release form before leaving the office. The coordinator may only provide the date and time of the client's appointment unless otherwise specified in the *Consent for Release of Information*.

If a client meets with the EAP coordinator during work time and does *not* want to disclose this information to his or her supervisor, the client should charge the time to leave accruals. The supervisor is accountable for the employee's work time and can ask for confirmation of an EAP appointment when the employee meets with the EAP coordinator on work time.

Note: A quick and convenient way to provide confirmation of an appointment is to write it on the back of a business card. This provides the supervisor with the requested confirmation as well as the coordinator's contact information if the supervisor has any questions or needs to follow up.

- n. With the client's permission, the coordinator can follow up to make sure the client is satisfied with the referrals and ask if the client needs further assistance. The coordinator and client should agree on an acceptable means of contacting the client to follow up. Because the coordinator and client may meet one another in the workplace, the coordinator may also explain to the client that after their meeting the coordinator will not approach the client or discuss their interaction, if they should meet, unless the client initiates contact with the coordinator. This policy is designed to protect the client's privacy.
- o. After concluding the meeting with the client, the coordinator should provide the client with the Client Satisfaction Survey and encourage the client to complete the survey (see Appendix, *Client Satisfaction Survey*).

Note: New coordinators must consult with the EAP regional representative about all cases until they have completed the New Coordinator Institute (NCI). In addition, all coordinators must consult with their EAP regional

representative about cases involving homicide or suicidal ideation, domestic violence, and child abuse, as well as other sensitive or complicated cases.

C. Resources

EAP coordinators provide a critical link between the clients and the resources available to assist them. Coordinators should develop and maintain a comprehensive resource file of local, state, and national resources including current contact information, populations served, insurance plans accepted, etc. They should also strive to develop a cooperative, professional relationship with providers, especially those in the communities they serve. A complete description of the resources policy can be found in Chapter 11, Providers and Resources.

D. Employee Leave and Return-to-Work Meetings

1. Policy Description

There may be times when EAP coordinators need to interface with agency management or union representatives to assist clients in getting help for mental health, substance abuse, or other serious problems. EAP coordinators are *not* authorized to grant leave of any kind including leave under the Family Medical Leave Act (FMLA) or Paid Family Leave (PFL). Coordinators can, however, assist clients by providing general information about agency leave policies and health insurance benefits. They should also refer clients to their human resources department as well as their union representatives who can clarify these policies and benefits and explain them in more detail. Such assistance can make it possible for a client to leave the workplace for evaluation and treatment and return to the workplace with the least amount of stress and disruption for the employee, the employee's supervisor, and co-workers.

2. Procedure

a. Leave of Absence

Questions about leave can be complicated and the client should be referred to the client's human resources department or union representative. However, at the request of a client, and with the client's written consent, the EAP coordinator may contact human resources or the union representative on behalf of the client to obtain basic information about health benefits and agency, facility, or Civil Service policies pertaining to a leave of absence, or to discuss other leave arrangements so the coordinator can provide the client with information about his or her options.

b. Return-to-Work Meeting

If a client has been out of the workplace for an extended period (ex. participating in a treatment program), and requests assistance from the EAP coordinator to return to work, with written permission from the client, the coordinator may arrange a return-to-work meeting. The purpose of the return-to-work meeting is to provide a confidential place for the client and supervisor to discuss the client's return to work, including job expectations and any agreement about accommodations such as a change in work schedule to accommodate appointments with a treatment provider.

The return-to-work meeting includes the client and supervisor and may include the EAP coordinator. The meeting may also include the treatment provider, human resources representative, union representative, Affirmative Action Officer, or other individuals as requested by the client. Prior to the meeting, appropriate *Consent for Release of Information* forms must be signed by the client for each participant in the meeting.

c. Follow-up and Aftercare Services

The EAP coordinator may assist a client in arranging for aftercare services. If the coordinator is asked by management or human resources personnel to confirm the client's participation in or completion of treatment, the coordinator should encourage management or human resources personnel to contact the treatment provider directly for this information. This ensures the agency receives the most current information about the client. The coordinator may, however, with appropriate *Consent for Release of Information* forms signed by the client, obtain information about the client's participation in treatment and convey this information to the employer.

E. EAP and the Disciplinary Process

1. Policy Description

The NYS disciplinary process is a negotiated labor-management procedure used to correct poor job performance. Both labor and management recognize that to improve job performance, the employee may need assistance with a personal problem, and that an EAP referral is appropriate. The EAP coordinator can meet with the employee, assess the situation, and offer a referral to help the employee resolve the problem that led to the discipline.

2. Procedure

If a referral is made as the result of a disciplinary process, the EAP coordinator will keep information obtained from the client confidential. If information needs to be disclosed to anyone, (ex. human resource department, treatment provider, etc.) written authorization to disclose the information must be obtained from the client (see Appendix, *Consent for Release of Information*).

a. Informal and Formal Referrals

A supervisor who is concerned about an employee can *suggest* the employee contact EAP for assistance before the situation requires formal disciplinary action. The informal referral is generally made during a discussion about deteriorating job performance, during a counseling session, or as a follow-up to the counseling session.

b. Formal Referrals

The formal referral is generally offered in lieu of discipline. A formal referral is written, signed by the supervisor and employee, and requires the employee to contact EAP. The coordinator should remind the supervisor that EAP is a voluntary program and the supervisor should continue to document the employee's work performance because the employee may not contact EAP.

c. Settlement Agreements

When an employee is involved in a formal disciplinary process, labor and management may agree to settle the discipline or hold the penalty in abeyance to give the employee an opportunity to address the issues that led to the disciplinary action. A referral to EAP may be incorporated into the settlement agreement and require that the employee follow the recommendations of EAP to avoid the disciplinary action specified in the settlement agreement. Settlement of disciplinary cases at arbitration may also incorporate a referral to EAP. Ultimately, it is the employee's responsibility to resolve the issues and to correct the job performance problem.

Participation in EAP is *always* voluntary. An employee who signs a settlement agreement that includes a referral to EAP does so voluntarily and thereby agrees to contact EAP and to follow the recommendation of the EAP coordinator. Although the employee signs the settlement agreement, if any information is to be disclosed, the employee must also sign the EAP *Consent for Release of Information* form.

The EAP coordinator may not attend disciplinary meetings or hearings but should ask to review the draft of any settlement agreement involving EAP *before* it is signed, whenever possible, to ensure the role of the EAP coordinator that is written in the agreement is appropriate. The coordinator is not required to sign the agreement and should not do so. The coordinator should not contact the disciplined employee unless the employee has already contacted the coordinator requesting EAP services.

The coordinator may be asked to confirm the employee's participation in and completion of treatment. If information needs to be disclosed to anyone, the employee must sign a *Consent for Release of Information* form. However, coordinators are encouraged to facilitate communication between the employer

and the treatment facility regarding the employee's participation in treatment (see Section D.,3. above, Follow Up and Aftercare).

The EAP Coordinator should contact the EAP regional representative for further guidance if the coordinator receives a settlement agreement involving EAP.

F. Critical Incident Response

A complete description of the EAP coordinator's role in critical incident response can be found in Chapter 10, Critical Incident Response.

G. Relationship with the EAP Regional Representative

1. Policy Description

The role of the EAP regional representative is an important one. The EAP regional representative is statewide EAP's representative to state employees and is the liaison between statewide EAP and EAP coordinators and committees. The EAP regional representative oversees local programs; provides consultation to local EAP committees, chairpersons, and coordinators, as well as to union representatives, management, and other stakeholders; manages the day-to-day operations of the regional office; provides orientations and training; and responds to critical incidents. EAP coordinators should be aware of the regional representative's role and responsibilities and should maintain regular and frequent contact with their regional representative (see Chapter 3, EAP Structure, Roles, and Responsibilities).

2. Communication with the EAP Regional Representative

- a. The coordinator should consult with the regional representative whenever the coordinator has a question about policy or procedures, needs clarification about an issue, or in any situation where guidance is needed, for example:
 - New coordinators must review *all* cases with their regional representative until they have completed the NCI.
 - There is a difficult client situation and the coordinator is unsure how to proceed.
 - There is reason to believe confidentiality must be broken.
 - A question arises concerning confidentiality, neutrality, or voluntary participation in EAP.
 - Labor or management requests the coordinator act in a way that may violate the ethics, neutrality, or other EAP policies.
 - A critical incident occurs at the agency or facility.
 - The coordinator receives a subpoena.
 - The EAP coordinator asks to be exempted from training or to travel to training in another region.
 - *EAP Training for Supervisors* is requested by the agency or facility.

- There is a question about the appropriateness of a topic for a lunchtime seminar or another workshop.
 - The coordinator receives a settlement agreement.
- b. The EAP coordinator can expect a call from the EAP regional representative when, for example:
- There is a question about the coordinator's monthly statistical report, or it has not been submitted on time.
 - The regional representative wants to follow up on a critical incident or there is a critical incident reported on the Monthly Statistical Report and no Critical Incident Report form has been submitted for the incident.
 - The coordinator has missed a mandatory EAP training.
 - There is a question about the EAP grant application.
 - There is a complaint about EAP services, and the regional representative is seeking to resolve the complaint.
 - Information is needed to complete a report.

H. Reports

1. Monthly Statistical Reporting

Coordinators must submit a Monthly Statistical Report by the first of the month following the month for which the statistics are reported (see Chapter 8, Coordinator Monthly Statistical Report).

2. Critical Incident Reporting

A *Critical Incident Report* form must be submitted when an EAP coordinator responds to a critical incident (see Appendix, *Critical Incident Report*).

When more than one coordinator responds to a critical incident, only *one* coordinator (the coordinator primarily responsible for responding to the incident) should submit the *Critical Incident Report* form and report the incident on the *Coordinator Monthly Statistical Report* form. The *Critical Incident Report* should include the names of other coordinators who participated in the response.

Other EAP coordinators who assisted with the response should record the *time* they spent responding to the critical incident on their *Coordinator Monthly Statistical Report* form. This will prevent duplication in reporting the total number of critical incidents and accurately report the time the coordinators spent on the critical incident response.

I. Basic Training Tasks

- a. The EAP regional representative meets with each new coordinator individually for orientation. This orientation provides the new coordinator with

- the basic knowledge and skill needed to begin assisting clients prior to attending the New Coordinator Institute (NCI). Both the regional representative and the coordinator must sign an acknowledgement that the EAP program manual has been reviewed and the orientation has been completed.
- b. EAP training is required for all coordinators. EAP training is customized to teach the coordinators the assessment and referral skills that are specific to the role of the NYS EAP coordinator within the context of a peer model. Coordinators must submit a training registration form to the regional office, indicating they have the approval of their EAP committee chairperson and their supervisor for the release time needed to attend EAP training. Coordinators must attend each class in its entirety.
 - c. The regional representative schedules a business meeting in conjunction with training (see Chapter 6, EAP Training Program). Coordinators should arrive on time to the business meeting to receive EAP updates and news.
 - d. EAP orientations raise awareness among state employees, management, and union representatives about the availability and benefit of EAP services. Regional representatives and experienced coordinators partner to deliver these training sessions at agency, facility, and union events. Coordinators should discuss how they can participate in training opportunities with their regional representatives.
 - e. If a coordinator presents or facilitates *EAP Training for Supervisors* at an agency or facility, a sign-in sheet from the training or an attendance verification form should be submitted to the training director as soon as the training is completed.

J. Promoting EAP

1. Policy Description

EAP committee members are responsible for promoting EAP services to employees. They are encouraged to take leadership roles in promotional activities such as “meet and greets”, open houses, wellness activities, health fairs, and benefit fairs. Committee members are also encouraged to promote EAP at union meetings and management meetings. While the EAP committee is responsible for promoting EAP, the coordinator may be asked to assist with promotional activities.

2. Promotional Activities

The following are examples of successful promotional activities:

- Post the EAP promotional video, *The Employee Assistance Program: Life Less Complicated*, on the agency’s website.

- Distribute EAP brochures and the FrontLine newsletter to employees throughout the agency or facility.
- Place a sign on the EAP coordinator's office door with the coordinator's name and office hours.
- Attach an envelope to the EAP coordinator's office door with business cards or a few brochures in it so employees who stop by can take information if the coordinator is not available.
- Order business cards with the EAP coordinator's picture on them. (grant funding available)
- Distribute EAP magnets to employees. (grant funding available)
- Distribute wellness or EAP calendars. (grant funding available)
- Distribute educational materials to employees. (grant funding available)
- Purchase an EAP display and table cover for use at meetings, orientations, and health fairs. (grant funding available)
- Post EAP posters throughout the agency or facility.
- Distribute topical flyers through mailboxes, bulletin boards, email, and online.
- Arrange a health fair, benefit fair, or EAP awareness event at the agency or facility.
- Sponsor a blood drive or food drive or collect cell phones or eyeglasses for a local charity.
- Add a signature line to the EAP coordinator's email promoting EAP. (Be sure to comply with agency or facility policy)
- Celebrate EAP month in November.
- Purchase a wellness video to share with employees. (grant funding available)
- Use the EAP logo on promotional materials whenever possible.
- Include EAP information and articles about EAP on the agency website.
- Maintain an EAP bulletin board.
- If the EAP office is new or has recently moved, hold an Open House; if not, hold an annual Open House.
- Provide an EAP overview to new employees, unions, management, supervisors, and labor relations and human resources personnel.
- Conduct *EAP Training for Supervisors*.
- Meet with stakeholders, such as human resources and labor relations personnel, directors, superintendents, and union representatives to introduce yourself and share information about EAP.
- Hold a lunch-time seminar or workshop for employees.
- Follow up with management after a critical incident. Ask if additional EAP services are needed and ask for feedback on the services provided.
- Offer a wellness program, such as a walking program.
- Start an EAP lending video or book library on EAP and wellness topics.

If there are questions regarding the appropriateness of an activity, the regional representative should be consulted. In all instances, EAP coordinators and committees must follow agency or facility policies.

Chapter 5: Administrative and Personnel Policies for Local EAPs

A. Overview

The EAP committee, in consultation with the EAP regional representative, is responsible for recruiting, interviewing, and recommending a candidate to serve as the EAP coordinator. The appointing authority reviews the recommendation, and if the proposed candidate is acceptable, follows the agency's or facility's official appointment process.

Once the coordinator is appointed, the EAP committee chairperson is responsible for supervising and evaluating the coordinator, with input from the committee and the EAP regional representative (see Section C,1. *Supervision and Evaluation of the Coordinator*). If the coordinator's work performance is ineffective, the coordinator is subject to removal. When a coordinator leaves the EAP coordinator position, the committee must work with the EAP regional representative to ensure an orderly transition.

B. Selection of the EAP Coordinator

1. When a vacancy occurs in the EAP coordinator position, the EAP committee chairperson and the EAP regional representative should work together to begin the process of selecting a new EAP coordinator.
2. The EAP committee chairperson must first obtain the agency's or facility's approval to fill the position.
3. The posting to fill the vacant EAP coordinator position must comply with the agency's or facility's policy. The posting should include a description of the EAP coordinator's role and responsibilities, release time requirements, and that attendance at the NCI and other EAP training is mandatory. (See Appendix. *Guidelines for the EAP Coordinator Posting*.) The EAP regional representative should review the posting prior to its publication. See Appendix, EAP Sample EAP Coordinator Posting.)
4. All employees are eligible to apply for the EAP coordinator position, regardless of bargaining unit affiliation, except for union officials, shop stewards (or the equivalent), employees of the personnel or human resources department, and affirmative action officers. These employees are not eligible because of the potential for a conflict of interest and the perception of the lack of neutrality and confidentiality.
5. The EAP committee, in consultation with the EAP regional representative, should review the applications and identify the most qualified applicants to interview.

6. The EAP committee should schedule and conduct the interviews (see Appendix, EAP Coordinator Position: Sample Interview Questions). The entire EAP committee may conduct the interviews or the committee may designate a subcommittee to interview applicants. The EAP regional representative should attend the interviews whenever possible, either in person or via conference call.
7. The EAP committee should confirm that the candidate's supervisor is aware of the candidate's selection and will approve the release time required to fulfill the coordinator's responsibilities.
8. The EAP committee or sub-committee must reach a consensus on the best candidate(s) and forward its recommendation to the appointing authority for approval. The recommendation should include at least two candidates, whenever possible. The regional representative may participate in discussions about the selection, but the regional representative cannot vote on the selection.
9. Once the appointing authority has appointed the new EAP coordinator, the EAP committee should notify the candidates who were not selected.
10. The EAP regional representative should schedule orientation of the newly appointed coordinator as soon after the coordinator's appointment as practical. Following the orientation, the regional representative should forward the coordinator's signed acknowledgment of orientation form to the training director to register the new coordinator for the New Coordinator Institute (NCI).
11. The new EAP coordinator is required to attend all EAP training and the NCI. Until they complete the NCI, new coordinators must review each case with the EAP regional representative.

C. Supervision and Evaluation of the Coordinator

1. EAP committee chairpersons are responsible for supervising the EAP work of both full- and part-time EAP coordinators. Where it is inappropriate or prohibited for the committee chairperson to supervise the coordinator, for example, due to the grade levels or workplace relationship, such as a relative or co-worker in the same unit, the committee may elect to have another committee member or manager serve as the coordinator's supervisor. This should be done in consultation with the EAP regional representative and chairperson, and if necessary, human resources. Note: The supervisor of a fulltime coordinator can oversee the coordinator's time and attendance and travel while the chairperson supervises the coordinator's other work responsibilities.

2. Among other things, the coordinator is expected to:

- Maintain confidentiality and neutrality
- Act professionally and ethically
- Comply with EAP policies and procedures
- Respond to requests for services in a timely manner
- Maintain a current resource file
- Attend mandatory training, including the NCI
- Submit monthly statistics on time
- Attend EAP committee meetings
- Maintain open communication with the EAP chairperson
- Maintain open communication with the EAP regional representative

3. Evaluation

An EAP coordinator's job responsibilities are the basis for the coordinator's performance evaluation and are described in detail in Chapter 3, EAP Structure, Roles, and Responsibilities.

a. Six-Month Evaluation (Optional)

The EAP committee may choose to meet with a new EAP coordinator six months after the coordinator's appointment to discuss the coordinator's performance and provide feedback or take corrective action if needed. The committee may evaluate a coordinator more frequently if there have been concerns about the coordinator's performance. The EAP chairperson or the committee should request feedback from the EAP regional representative regarding the coordinator's performance.

b. Annual Evaluation

The EAP coordinator should be evaluated annually by the EAP committee and should include input from the EAP regional representative (see Appendix, *EAP Coordinator Evaluation*).

D. Resignation or Retirement of the EAP Coordinator

When an EAP coordinator resigns, retires, or otherwise leaves the coordinator position, it is important to ensure a smooth transition between the outgoing coordinator and the incoming coordinator. The following procedures should be followed to effectively transfer knowledge and information, safeguard confidential documents, preserve resource materials, and secure the EAP office:

1. The coordinator should notify the EAP chairperson and the regional representative as soon as possible when the coordinator intends to leave the position.
2. The coordinator should complete an exit interview with the EAP regional representative. The exit interview includes the reason for leaving, a summary of the coordinator's experience with EAP, and any recommendations for possible improvements to the program (see Appendix, *Coordinator Exit Survey*).
3. Before leaving, the coordinator must secure all confidential materials or arrange to give them to the EAP regional representative when they meet for the exit interview. The office key should be left with the EAP committee chairperson or the designee at the agency or facility who can protect the privacy of the EAP office and the confidentiality of any materials, documents, or equipment in the office.

E. Dismissal of an EAP Coordinator

EAP coordinators must act professionally and ethically. They are expected to follow EAP policies and procedures, comply with the *Code of Ethics for NYS EAP Coordinators*, maintain neutrality and confidentiality, avoid conflicts of interest, attend training, and fulfill their other responsibilities as outlined in Chapter 3, EAP Structure, Roles, and Responsibilities.

If a coordinator fails to fulfill the responsibilities of the position, the coordinator is subject to removal from the EAP assignment. Before removing a coordinator, however, the EAP committee and EAP regional representative should discuss their concerns with the coordinator and attempt to resolve the problem. If they still have questions or concerns regarding a coordinator's performance, the following steps should be taken:

1. The EAP committee chairperson should schedule a committee meeting to discuss concerns about the coordinator's work performance and any other concerns about the coordinator, without the EAP coordinator in attendance. The EAP regional representative should attend this meeting. All discussions at this meeting must be kept confidential.
2. The EAP chairperson should schedule a second committee meeting no later than two weeks after the first meeting and include the coordinator. The EAP regional representative should attend this meeting as well. The purpose of the meeting is to provide an opportunity for the coordinator, the committee, and the regional representative to discuss the committee's or the regional representative's concerns and for the coordinator to respond.
3. The EAP committee must make a written record of the outcome of both meetings and provide copies of the minutes to the EAP regional representative. If the concerns are of a serious nature, the management representative on the committee and the chairperson can seek guidance from the agency's or facility's human resources department.

4. After considering all the information and possible solutions to the problem, and in consultation with the EAP regional representative, the EAP committee should decide on a course of action. If appropriate, the EAP committee should try to retain the coordinator. The EAP committee should reach consensus prior to the dismissal of an EAP coordinator.
5. In the event the EAP committee members cannot reach a consensus about whether to dismiss a coordinator, the committee may request a written decision from the EAP program manager. This decision may be appealed to the WLS Advisory Board.

F. EAP Coordinator Release Time

EAP is a negotiated benefit. It is not a volunteer program or charitable organization. EAP coordinators are state employees. Their EAP work is expected to be done on state time in accordance with state rules, regulations, and policies.

EAP coordinators need sufficient time to fulfill their EAP responsibilities. This includes time to meet with clients; conduct orientations; attend EAP training; develop resources; respond to critical incidents; deliver supervisory training; plan workshops and health fairs; attend committee meetings; promote EAP services; consult with agency management and the unions; complete administrative tasks; and pursue the Certified Employee Assistance Professional (CEAP) credential. (See Chapter 3, EAP Structure, Roles, and Responsibilities.)

To ensure EAP coordinators have adequate release time to fulfill the requirements of their job, the Work-Life Services Advisory Board recommends a minimum of 50% release time for agency coordinators, and 100% for multi-agency coordinators. (Adopted by the WLS Board February 20, 2015)

1. The EAP committee must assess the release time needs of the coordinator and ensure the coordinator has sufficient time to perform the duties and responsibilities of the coordinator position in addition to his or her other job responsibilities. Staff restrictions due to job commitments and declining staff coverage are legitimate considerations which can affect release time determinations.
2. After determining the appropriate amount of release time, the EAP committee should request approval of the release time from the agency director and the EAP coordinator's supervisor.
3. The EAP regional representative and EAP committee should regularly review the coordinator's monthly statistical report to evaluate the adequacy of the coordinator's release time.

G. EAP Coordinator Time and Attendance

1. Coordinators must comply with their agency's or facility's time and attendance rules and policies.
2. Generally, the EAP committee chairperson is responsible for signing the time card of a full-time EAP coordinator. If the chairperson is responsible for signing the time card, it is incumbent upon the chairperson to be cognizant of the responsibilities of a supervisor who certifies the time and attendance of an employee.

A part-time EAP coordinator's time card can be signed by either the coordinator's supervisor or the EAP committee chairperson. The supervisor can sign for both the coordinator's regular job assignment and the coordinator's EAP work time and can request the EAP committee chairperson confirm the coordinator's time spent on EAP work. The EAP committee chairperson can also sign the coordinator's time card with the supervisor's approval.

3. The NYS EAP regional representative has no authority to sign an EAP coordinator's time card under any circumstances.
4. If an issue arises regarding who will be responsible for signing a coordinator's time card, the EAP regional representative should discuss the issue with the chairperson and, if necessary, the EAP program manager.

H. EAP Office Administration Policies

1. EAP Coordinator Forms of Identification
 - a. Photo Identification

EAP can provide a photo identification card for EAP coordinators upon request. This card can be obtained at the NCI or through the EAP main office.

- b. Business Cards

The EAP coordinators' agency or facility is responsible for providing the coordinator with standard business cards. These should include the contact information for the coordinator such as title ("EAP Coordinator"), name of the agency, phone, fax, if applicable, and email address.

Note: Coordinators can apply for an EAP grant for business cards with their photo on them or for magnetic business cards.

- c. Posting Coordinator's Name and Hours on the EAP Office Door

EAP coordinators should post their names on the EAP office door along with their regular office hours. Coordinators can attach an envelope with business cards or

brochures to the door for employees to take when they stop by and the coordinator is busy or out of the office.

d. Change in Contact Information

If an EAP coordinator's contact information changes, the coordinator must notify the EAP committee chairperson, regional representative, and the coordinator's agency or facility. The coordinator should also notify human resources personnel and request the contact information be updated in SLMS and other agency or facility resources.

2. EAP Office

a. Office Space and Location

The agency is responsible for providing safe, secure, and *private* space for an EAP office. The office must be suitable for the coordinator to meet with clients confidentially. It must not be a cubicle, which lacks privacy, or located in or near the human resources, personnel, or labor relations offices or in close proximity to the offices of commissioners, superintendents, directors, or union officers. The office should be for the sole use of the EAP coordinator whenever possible.

b. Office Equipment and Supplies

The office equipment provided by the agency or facility should include a desk and chair, a small table, several comfortable chairs, a file cabinet that locks (for confidential documents), a telephone with voice mail or cell phone, a computer with internet access, and a fax machine. A lamp can help create a warmer environment, if permitted. In addition, the agency provides basic office supplies such as paper, pens, file folders, and postage.

c. Office Appearance

- The EAP office should be neat and comfortable.
- EAP coordinators must not display any pictures or materials in the EAP office that would violate the *Code of Ethics for NYS EAP Coordinators* or could be considered offensive, controversial, political, or religious.
- The NYS EAP Confidentiality Policy should be posted in the EAP office so that it is clearly visible to clients (see Appendix, *Confidentiality Poster*).

3. Telephones and Email

a. Responding to Clients

EAP coordinators must respond to client phone calls or email messages within 24 hours, excluding weekends and holidays.

b. EAP Standard Voice Mail Message

The following is the standard voice mail message for EAP coordinators:

“Hello. You have reached (name), EAP Coordinator at (agency/facility). My regular office hours are (_____). If this is a crisis, please call (insert name and number for local crisis service) or 911. Otherwise, you may leave a message and your call will be returned as soon as possible. If you need to speak with someone immediately, please call the EAP main office at 1-800-822-0244. Thank you.”

c. Voice Mail When Coordinator is Out of the Office

EAP coordinators should check voice mail and email messages regularly unless they are on vacation or other official leave. When an EAP coordinator is out of the EAP office for more than 24 hours (ex., vacation, training, illness) the EAP committee chairperson and EAP regional representative must be notified. The voice mail message and the out of office auto reply for email should provide the expected return date and the name of the EAP coordinator providing backup coverage. EAP main office 800# should not be used for primary backup coverage. The voicemail and email messages should be updated promptly when the EAP coordinator returns.

4. Scheduling Appointments

a. Appointments should be *scheduled* within 24 hours of a coordinator’s receiving a request for services and sooner in emergency situations.

b. Location of Appointments

It is preferable for the EAP coordinator to meet with clients in the EAP office. If privacy or security is a concern and this is not appropriate, the coordinator can arrange to meet the client at an alternative site in the agency or facility. They may also refer the client to another EAP coordinator at a different location.

If the client prefers to meet in a public place outside of the workplace, the coordinator must take appropriate steps to ensure the safety of both the coordinator and the client as well as the client’s privacy and confidentiality. The coordinator should discuss such requests with the EAP regional representative before meeting with the client in a public place.

Chapter 6: EAP Training Program

A. Overview

Mandatory EAP training is designed to build the skill of EAP coordinators, committee members, and chairpersons so they can perform their respective EAP duties effectively and professionally.

Training is delivered by subject experts, local resource providers, and EAP staff. EAP regional representatives and coordinators deliver orientation to new employees, supervisors, management and union personnel.

B. Policy Description

Training is a core function of NYS EAP. The primary objectives of the EAP training program are to:

1. Develop core competencies for coordinators. NYS EAP collaborates with subject matter consultants to deliver training on topics frequently encountered by coordinators, and the practical application of the assessment and referral skills related to these issues.
2. Develop, maintain, and update a comprehensive file of current health benefits information, appropriate resources, and local service providers.
3. Emphasize to agency supervisors, managers, and union representatives the ways in which early identification of poor job performance and prompt referral to EAP can benefit the employee, the supervisor, the agency, and the state.
4. Support coordinators in becoming eligible to attain the national Certified Employee Assistance Professional (CEAP) credential.
5. Promote a variety of educational events to improve the quality of life for all employees, while raising awareness of EAP as a negotiated benefit.

D. EAP Training Components

Type of Training	Presented by	Intended Audience	Delivery Method
New Employee EAP Orientation	Regional Representatives, experienced Coordinators	Newly hired NYS Employees	In-person; Video
New Coordinator Orientation	Regional Representatives	New Coordinators	In-person
New Coordinator Institute (NCI)	Subject Experts, EAP, GOER, Family Benefits staff	New Coordinators	Multiple day; instructor-led
Foundational Training	Subject Experts, Regional Representatives	All Coordinators	Instructor-led
Advanced Foundational Training	Subject Experts, Regional Representatives	Eligible Coordinators	Instructor-led
Regional Resource Training	Subject Experts, Regional Representatives	All Coordinators	Instructor-led
New Committee Member Orientation	Regional Representatives	New Committee Members	In-person; Webinars
New Committee Chairperson Orientation	Regional Representatives	New Committee Chairpersons	In-person; Webinars
EAP Training for Supervisors	Regional Representatives, experienced Coordinators	Agency Supervisors and Management	Instructor-led; Video; Online
Orientation for Management and Union	Regional Representatives, experienced Coordinators	Agency Management and Union Members	Instructor-led
Human Resource Staff Orientation	Regional Representatives, experienced Coordinators	Human Resource Directors and staff	Instructor-led
Online Learning Instructional Webinars	EAP Staff	Coordinators, Committee Members	Webcast
Educational Seminars	Subject Experts	NYS Employees	Instructor-led

1. New Employee Orientation

This introduction to EAP services and other negotiated benefits for employees is offered in-person to individuals or groups of new employees at an agency.

2. New Coordinator Orientation

The New Coordinator Orientation is a one-on-one orientation session provided by the EAP regional representative. The objective is to equip the newly appointed EAP coordinator with the basic knowledge and skill needed to begin assisting employees. Coordinators may not begin meeting with clients until the orientation has been completed. Both the regional representative and the coordinator must sign the *Acknowledgment of Orientation* form once the session is completed. The form must be sent to the EAP training assistant's office to ensure the new coordinator will be enrolled in the next New Coordinator Institute.

3. New Coordinator Institute

The New Coordinator Institute (NCI) is a mandatory, multiple-day program, delivered by EAP staff, experienced EAP coordinators, and subject experts. The NCI provides an introduction to program operations, helping skills, and the core competencies related to the provision of EAP services. Coordinators must consult with their regional representative on all cases until they have completed the NCI.

The NCI workshops provide the new coordinators with an understanding of:

- a. EAP history
- b. coordinator core competencies
- c. the role of the coordinator, committee members, chairperson, unions, management, and NYS EAP staff
- d. confidentiality, and neutrality policies
- e. EAP policies, ethics, procedure, and practice
- f. basic interviewing and assessment skills
- g. assessment strategies for mental health issues, suicide risk, alcohol and drug abuse and addiction, and domestic violence
- h. the role of the coordinator in critical incident response
- i. labor-management collaboration
- j. program promotion
- k. wellness initiatives
- l. resource gathering skills and linkages
- m. practical tips for quality service
- n. overview of the health benefits system and Work-Life Services benefits
- o. the practical application of material learned through case studies and sharing best practices

4. Foundational Training

Foundational Training is mandatory for all coordinators. The content builds on the knowledge and assessment skills gained during the NCI. These training classes offer content from a variety of subjects and focus on the issues that are most frequently encountered by EAP coordinators. Topics are also selected in response to feedback elicited from training participants and the regional representatives.

Note: Committee members do *not* attend the NCI or Foundational Training; the content is designed specifically to build coordinator assessment and referral skill, which is not within the scope of the role of a committee member.

Foundational topics focus on the areas of physical and mental health, substance abuse, family, ethical and legal issues, community matters, financial concerns, and workplace issues, and include:

- a. motivational interviewing and assessment skill
- b. physical health and wellness issues
- c. mental health issues, including suicide prevention and awareness
- d. dealing with grief and loss
- e. alcohol and substance abuse
- f. stress management
- g. behavioral addictions
- h. elder care concerns
- i. change and resilience
- j. relationships
- k. parenting and childcare
- l. domestic violence
- m. violence in the workplace
- n. diversity
- o. EAP promotion
- p. creating, evaluating, and updating a resource file

5. Advanced Training

Occasionally, EAP offers classes that build a higher level of skill assessment and prepare the coordinator to consult with the agency management, and EAP stakeholders. Advanced Training topics may include:

- a. consultation to the organization about EAP-related issues and the provision of internal services to the organization, such as critical incident response and return-to-work meetings
- b. management and union orientation to EAP services
- c. coordination of EAP services with related services
- d. train-the-trainer workshops to deliver new employee and committee orientation
- e. presentation and platform skills

- f. quality assurance measures and data reporting
- g. designing standards for program effectiveness
- h. EAP trends, technologies, and regulatory considerations
- i. ethics and legal standards
- j. communication with stakeholders
- k. consensus building and group facilitation
- l. constructive conflict resolution

6. Regional Resource Training

Regional Resource Training is mandatory for all coordinators. Regional Resource Training is arranged by the EAP regional representative, in collaboration with the training director, and presented by local subject experts on a variety of topics of regional interest that are directly related to the coordinator role and resource development.

7. New EAP Committee Member Orientation

All new EAP committee members must attend the New Committee Member Orientation. This in-person training is offered by the regional representative on a quarterly basis but may be delivered onsite at the agency when a new committee is formed, there is substantial turnover on the committee, or the EAP committee requests it.

The New EAP Committee Member Orientation includes:

- a. an overview of EAP
- b. the role and scope of the EAP committee, chairperson, and coordinator
- c. ethics and legal issues
- d. coordinator interviews, selection, supervision, evaluation, and dismissal
- e. reporting requirements
- f. applying for EAP grants
- g. program promotion
- h. requesting crisis response

8. New Chairperson Orientation

In addition to the New Committee Member Orientation, each new committee chairperson will receive an orientation by the regional representative. The orientation will describe the responsibilities and the scope of the chairperson's role on the EAP committee. Both the chairperson and the regional representative sign an *Acknowledgement of Orientation* form, once the session is completed.

9. EAP Training for Supervisors

EAP Training for Supervisors provides an introduction to EAP policy, explains how to identify declining job performance, and underscores the benefits of making early

referrals to EAP based on job performance indicators. The training may be presented by EAP coordinators or EAP regional representatives.

Topics include:

- a. benefits for the client of early problem identification and referral to EAP
- b. benefits of EAP services for employees, families, management, unions, and the agency
- c. roles and limits of the EAP coordinator and the EAP committees
- d. approaching an employee about accepting a referral
- e. referral resources and linkages
- f. providing support to the EAP committee
- g. privacy, confidentiality, and neutrality
- h. required forms
- i. return-to-work meetings
- j. formal and informal referrals
- k. disciplinary process and settlements

10. Orientation for Management and Unions

This overview of EAP policy and procedure explains the benefits of EAP services for the employee, the supervisor, the unions, and the State, as well as outlining the collaborative role of labor and management.

11. Human Resources and Labor Relations Orientation

The Human Resources Orientation is an overview of EAP as it relates to the collaboration between EAP and agency departments. The orientation focuses on return-to-work meetings, disciplinary settlements, critical incident response, and other areas in which EAP can provide a service to the agency and the employee.

12. Online Learning

EAP has developed instructional webinars to help coordinators and committee members apply for EAP grants, complete an annual report, submit timely and accurate statistical reports, promote EAP services, hold wellness events, and adjust to retirement.

13. Educational Lunchtime Seminars

EAP coordinators or committee members host one-hour educational seminars onsite at their agency. The seminars focus on personal and workplace topics of broad appeal and are open to all agency employees. The seminars provide an opportunity to present information and promote EAP services.

D. Training Registration Process

1. Registration for EAP training is managed through the Statewide Learning Management System (SLMS). Coordinators are responsible for keeping their supervisors and HR office apprised of any change to their SLMS profile, so that they will continue to have access to the EAP Learner Group.
2. To ensure that registration is processed efficiently, all coordinators are required to complete the registration form distributed with the training catalog. The catalog is distributed by email, or in hardcopy, and is posted to the EAP SharePoint site approximately one month prior to the start of the training cycle. The form must be completed by the coordinator, and may be submitted by mail, email, or fax to the regional EAP office. The regional support staff will enroll the coordinator in the training class in SLMS. Registration for training cannot be accepted verbally.

Note: Advance registration is *not* required for *EAP Training for Supervisors and Management and Union Orientation*.

3. Coordinators must indicate the title of the program, the date, and the location for each training class they wish to attend. Coordinators are encouraged to register for all programs on the same form. Inaccurate or incomplete registration forms will delay processing and may cause the coordinator to be closed out of a class.
4. All coordinators are expected to attend training in their own region, unless approval is obtained, in advance, to attend training in another region. Permission must be obtained from both the coordinator's own EAP regional representative and the EAP regional representative hosting the training.
5. EAP coordinators must obtain advanced approval from their supervisor and the EAP committee chairperson for release time, travel expenses, and overtime that will be incurred as a result of attending an EAP training program, including the NCI.
6. When registering, the coordinator should notify the EAP regional office of any special accommodations they may need at the training site.

E. Registration Status

The EAP regional office support staff manages the registration status and EAP training history for all coordinators through SLMS. To ensure accurate recording of coordinator training status, the following guidelines will define registration status:

1. *Pending Approval* - All coordinators will be entered in the mandatory classes for each training by the regional support staff prior to each class. Their status will be entered as “pending approval” and will remain as such until the written registration form is received.
2. *Enrolled* - Coordinators will be required to submit a written registration form to the regional office. When a coordinator’s written registration is received in the regional office, their attendance status will be updated to “enrolled”. Each enrolled coordinator will receive directions to the training site through SLMS and will be notified of any cancellations.
3. *Completed* - The coordinator’s status will be updated to “completed” *after* the training class has been held, and it has been determined that the coordinator attended the training in its entirety.
4. *Incomplete/Partial Day* - If a coordinator arrives late, leaves the training before it has ended, or misses portions of the training, the status will be recorded as “Incomplete.” No PDHs or Certificates of Completion can be awarded for attending a partial day of training.
5. *Dropped* - A coordinator’s status will be “dropped” when a coordinator registers for a training and later discovers that attendance is not possible. Coordinators must call the EAP regional office to indicate that they will not attend.
6. *No Show* - The status for any coordinator who is enrolled but does not attend the training class *without* notifying the EAP regional office in advance, will be recorded as “no show.” No PDHs or Certificates of Completion can be awarded to coordinators whose status is recorded as “no show.”
7. *Excused* - A coordinator may apply to be exempted or “excused” from a particular training class. The exemption will be granted if, in the opinion of the EAP regional representative, the coordinator’s attendance would create a substantial conflict with work duties that cannot be resolved by attending in another region on a different day or, the coordinator is scheduled to perform work on behalf of EAP on the same day as the training (such as hosting a health fair or wellness event) or, the coordinator’s credentials meet the specific training requirement for the particular topic as outlined on the Application for Exemption form (see NYS EAP Program Manual Appendix).

The coordinator will complete an *Application for Exemption from Training* form and submit it to the regional representative for approval. If approved, the regional representative will sign and submit the form to the EAP main office with the completed training roster and sign-in sheets after the training. The coordinator’s training registration status will be marked “excused.”

Note: The regional representative should give considerable thought before approving a coordinator’s exemption from training because neither Certificates of Completion, nor PDHs, will be awarded to coordinators who are excused from

training. This could have implications for coordinators who require PDHs in order to pursue or recertify for the CEAP credential.

F. Confirmation of Enrollment Email

A confirmation of enrollment email is automatically generated through SLMS after the coordinator has been enrolled. If a coordinator wishes to have a copy of the confirmation email forwarded to their supervisor, they must give the appropriate permissions to their SLMS administrator in order to include this contact information in their SLMS profile. Their agency HR or payroll office can assist them. This email only confirms the coordinator's *registration*, not their *attendance* at training. The Certificate of Completion is the coordinator's verification of attendance (see below.)

Since each coordinator is entered as "pending approval" in SLMS, if they register in a region other than their own, they may receive two confirmation of enrollment emails. They may disregard the one for the class they will not attend.

G. Certificate of Completion

A Certificate of Completion will be available through SLMS several days after the class and can be printed by all coordinators who have attended the training in its entirety. Certificates of Completion will *not* be awarded for *incomplete* or *partial day* attendance.

H. Registration Cancellation Policy

1. If an enrolled coordinator needs to cancel their registration for a training program, the regional office must be notified as soon as possible. All cancellations are handled through the EAP regional offices. If an enrolled coordinator is unable to attend a training class and does not call the EAP regional office to cancel, the coordinator's registration status will be recorded as "no show" (see Section F. 5).
2. NYS EAP reserves the right to cancel or reschedule training classes due to trainer illness or inclement weather. All enrolled coordinators will be notified of the changes. Information will also be available on the EAP Training Voice Line at (518) 474-8086.
3. If inclement weather is forecast the day before, or the day of the program, coordinators should call the Training Voice Line, for cancellation information *before* traveling to the program. Cancellation information will be recorded by 7:00 a.m. on the day of the training. Information about rescheduling the training class will be sent to all enrolled coordinators directly. It may be necessary to hold a rescheduled class at a different location.

I. Training Costs

EAP training programs are offered at no cost to NYS EAP coordinators, chairpersons, and committee members; the programs are jointly funded through the negotiated agreements between the State of New York and the labor unions.

All travel expenses (lodging, meals, parking, mileage, tolls) must be pre-approved by the coordinator's agency and are reimbursed by the coordinator's agency.

Refreshments and lunch expenses during each program are the responsibility of the coordinator and are not a reimbursable expense.

J. Training Records

Training is a core function of NYS EAP, and completion of training is one of the key indicators of whether or not an EAP coordinator is knowledgeable and eligible to continue in their role. Therefore, it is important that EAP coordinator training attendance is monitored. When a coordinator fails to attend training, regardless of whether it is due to personal or job-related conflicts, the regional representative will follow up with a phone call to the coordinator to ascertain the reason for the absence.

If the coordinator is repeatedly absent from training, a letter will be sent to the EAP committee chairperson seeking collaboration in rectifying the situation.

K. Business meetings

Regional representatives schedule regional business meetings on training days, either before or after the training. Coordinators should arrange their time and travel accordingly.

L. Training Environment

It is imperative that all coordinators receive training in order to effectively perform their EAP functions. EAP strives to retain qualified subject matter experts to develop and deliver the training material and seeks to establish an experiential training environment

that is conducive to learning. Training participants are expected to be engaged in the learning process, respect start and end times, return from breaks promptly, maintain confidentiality while participating in case studies, and refrain from side-bar conversations or other distracting behavior during the presentations.

M. Questions

Inquiries regarding the catalog, specific programs, business meetings, professional development hours (PDHs), start and end times, registration, cancellations, or site location information should be directed to the EAP regional office.

N. Certified Employee Assistance Professional Credential (CEAP)

NOTE: Changes to the CEAP application process, testing procedures, and eligibility requirements are anticipated in July 2020.

1. Overview

The Work-Life Advisory Board and NYS EAP support professional accreditation for NYS EAP coordinators and encourage coordinators to obtain the Certified Employee Assistance Professional (CEAP) credential. The CEAP credential is a formal, nationally recognized, professional credential awarded by the Employee Assistance Certification Commission (EACC). NYS EAP offers annual training that gives EAP coordinators the opportunity to increase their skill level and professionalism and meet EACC training requirements for CEAP certification.

2. Eligibility Requirements

Participation in the CEAP program is voluntary. Coordinators must fulfill the following requirements to be eligible to participate in NYS EAP's CEAP Program and take the CEAP Exam:

- a. The coordinator must be authorized by the appointing authority to engage in EAP activities for at least 50% of the coordinator's work assignment.
- b. The coordinator must obtain *written* permission from the EAP committee chairperson to participate in the CEAP program. A sample letter can be requested from the CEAP program manager at the EAP Main Office.
- c. The EAP regional representative and the coordinator's direct supervisor must approve the coordinator's participation in the CEAP program.
- d. The coordinator must have completed 1,000 hours of work experience in an EAP setting over a minimum of one year, obtained within 10 years immediately preceding the date of application to take the CEAP exam.
- e. The coordinator is required to attend *all* NYS EAP mandatory training unless excused by the regional representative.
- f. The coordinator must earn a total of 60 Professional Development Hours (PDHs); 10 hours specifically in the areas of EAP program design, administration, and management (Domain I); 20 hours in the area of EAP services to the organization (Domain II); and, 30 hours in EAP services to employees and family members (Domain III).

For new CEAP candidates with a graduate degree in an EAP-related field, the Domain requirements change to Domain I, 10 PDHs, Domain II, 7 PDHs, and Domain III, 3 PDHs. Two hours of the Domain I training must be part of an EACC-approved Ethics training.

- g. The coordinator must complete the three-hour CEAP® Orientation Course, the two-hour Elevating Ethical Awareness Course, and the six-hour CEAP Exam Prep Course, all of which are offered by the EACC online. Candidates will receive information about these courses after enrolling in the program.

The coordinator must attend NYS EAP's CEAP exam preparation classes before applying to take the CEAP exam. There will be at least four one-hour advisement classes given by the NYS EAP assistant program manager. The courses are designed to assist candidates in preparing for the CEAP exam.

3. Cost

NYS EAP funds the initial CEAP certification fees for eligible EAP coordinators. Certification is valid for three years. Funding is also available to cover the cost of re-certification. The coordinator must pass the CEAP credentialing exam and submit all required documentation in order to receive reimbursement.

4. Application Process

The coordinator must complete and submit the CEAP Eligibility Questionnaire to the NYS EAP office for approval. This serves as confirmation of the applicant's acceptance of the terms of the CEAP program and approval of the applicant's supervisor, EAP committee chairperson, and regional representative,

5. Enrollment

The CEAP Application form will be sent to eligible candidates from NYS EAP. The application must be completed and returned to the main office within two weeks of receipt. The EAP office manager will register candidates online. Candidates will then receive a letter from the EACC with further information.

6. Training

Through attendance at NYS EAP training, coordinators can earn the necessary PDHs to fulfill the training requirement for the CEAP credential. Upon completion of the enrollment process, candidates will be sent instructions for enrolling in the CEAP® Orientation Course and the CEAP Exam Preparation Course.

After the completion of the CEAP® Orientation Course, candidates may register for the advisement classes with the NYS EAP Assistant Program Manager.

7. CEAP Exam Application

Upon completion of all requirements for the CEAP exam, the coordinator can submit the *CEAP Exam Application for Initial Certification Only* form to the NYS EAP office manager. Documentation of any non-NYS EAP training and PDHs that have been approved by the EACC must be included with the application. Training must have been completed within three years of the exam application.

Upon receipt of all documentation by NYS EAP, the EAP office manager will complete the *Credit Card Payment* form and a letter documenting the applicant's PDHs, and will submit all documents to the EACC. If a coordinator does not have

access to the Internet, NYS EAP can provide copies of the application forms. Applications must be submitted and paid for by the end of the fiscal year.

8. Scheduling the CEAP Exam

The EACC will notify an applicant directly, in writing, when an application has been accepted. The applicant can then schedule the CEAP exam. Applicants are responsible for scheduling exams on their own and notifying their EAP regional representative and the NYS EAP office manager of the date of the exam. Exams *must* be scheduled within 60 days of the EACC's approval of the application, and no later than ten months after enrollment in the CEAP program.

9. Successful Candidates

The testing center will notify candidates if they have successfully passed the exam, and their score. The original score report must be sent to the NYS EAP office manager who will complete and forward the *EAPA Credit Card Payment* form and the score report to the EACC for processing. The successful candidate will receive the CEAP certificate by mail.

10. Retesting Procedure

Candidates who do not pass the CEAP exam are eligible to take the exam a second time. NYS EAP will pay for one retest. Candidates must wait 90 days from the date of the original exam to submit the *CEAP Exam Retest Application for Initial Certification Only*. Candidates should be sure to check the appropriate box when reapplying to take the exam a second time.

Candidates who have taken the exam twice without a positive outcome may choose to continue the certification process on their own. The candidate, or, in some cases, the candidate's agency will pay for the cost of the application and exam fees. NYS EAP will not pay for any further retesting. NYS EAP will pay the CEAP certification fee should the candidate successfully pass the exam.

11. Recertification

The EACC requires CEAP-credentialed coordinators to recertify their CEAP credential every three years. Approximately six months prior to the expiration date, coordinators will receive a recertification packet from the EACC. To recertify, coordinators must attend 60 hours of EAP-related training within the current three-year period. At least two hours of training must be in EAP ethics. Recertifying CEAPs can take any EAP ethics course. All renewal documentation must be forwarded to the NYS EAP office manager for processing.

The CEAP forms can be found on the EAPA website at: www.eapassn.org.

Chapter 7: EAP Grant Program

A. Overview

EAP offers grants to EAP committees to promote EAP and to encourage health and wellness. The following policies and procedures are in place to promote a better understanding of the EAP grant program and to help applicants complete the grant application successfully. A grant webinar is available to assist applicants. Information about the webinar is available from the EAP regional offices, the SharePoint site calendar, and the EAP training catalog.

Committees may receive *one* grant per fiscal year. This will ensure all EAP committees have an equal opportunity to obtain a grant and that the grant funding is available to as many agencies and facilities as possible.

In addition to EAP Grants for specific items to promote existing wellness programs, WellNYS Grants are available to support new wellness programs (see Chapter 9, Wellness Program).

B. Minimum/Maximum Grant Requests

The minimum amount that can be requested for an EAP grant is \$500. The maximum amount is determined by the number of employees covered by the applicant's agency or facility.

EAP committees may request multiple items to meet the minimum requirement. Committees are encouraged to obtain supplemental funding and in-kind services for each grant request.

C. Selection of Vendors

When purchasing items or services with an EAP grant, an agency or facility should select a reliable firm or vendor, and items or services purchased should be at a reasonable price. Committees must include documentation justifying their selections with their application, including imprinting, shipping, and handling charges. All grant requests must adhere to the purchasing guidelines of the submitting agency or facility, including guidelines on the use of MWBE and preferred vendors.

D. Deadlines

EAP will notify EAP coordinators and committee chairpersons of the opening of the EAP Grant Program each year. Generally, the EAP Grant Program opens May 1 or when the state budget has passed. The deadline for submission of grant applications is December 31. All materials or services must be purchased and paid

for no later than March 31. General Ledger Journal Entry forms should be submitted no later than 60 days after the conclusion of an event or receipt of materials or services, and no later than June 1.

E. Grant Application Process

1. The applicant completes the grant application and obtains the EAP committee chairperson's signature.
2. The applicant contacts the agency or facility fiscal officer to discuss the grant process and obtains the fiscal officer's signature.
3. The application is submitted to the EAP regional representative who reviews it to ensure compliance with the EAP grant guidelines and NYS branding guidelines. The regional representative then signs the application and submits it to the EAP main office for final review.
4. The EAP program manager sends a letter to the applicant, approving or denying the grant, with a copy to the regional representative and the agency's or facility's fiscal officer. In addition to the letter, the fiscal officer will receive the original grant and General Ledger Journal Entry form to process the orders and payments.

F. Payment of EAP Grant Money

Grants are reimbursed via the General Ledger Journal Entry form through the Statewide Financial System (SFS). Once applicants have been awarded a grant and incurred the approved expenses for the grant, the agency's or facility's fiscal officer will process payment of the invoice and EAP will reimburse the agency or facility for the expenses. Reimbursement will not occur until a General Ledger Journal Entry form has been completed by the agency or facility and submitted to the EAP main office with appropriate supporting documentation. If grant applications are submitted and approved and the agency fails to submit for reimbursement, the agency will not be eligible to apply for a grant in the next grant cycle.

G. Appropriate Grant Requests

A list of items eligible for grant funding is distributed with the EAP Grant Guidelines and Grant Application at the opening of the grant cycle. Grants must be used to

purchase materials and services related to health and wellness and for educational and promotional materials. EAP committees should strive to reach the maximum number of employees when purchasing items with EAP Grants. Items should be useful to most employees, and the items should be likely to be retained.

Educational and promotional materials purchased with an EAP grant should prominently display the EAP logo, whenever possible, and the name and contact information for the EAP coordinator, using the current NYS branding guidelines. If there is insufficient space for the EAP logo, "NYS Employee Assistance Program" can be used instead. If a coordinator is expected to leave the position soon, the contact information for the EAP office may be used rather than the contact information for the coordinator. Agencies that

have their own EAP website may use their own web address. Agencies that do not have their own EAP website should use the following web address:

www.goer.ny.gov/employee-assistance-program

Chapter 8: Coordinator Monthly Statistical Report

A. Overview

EAP understands the importance of demonstrating the value of EAP to all stakeholders including GOER and the WLS Advisory Board, unions, management, and employees. Collecting information and data related to EAP services is essential to make informed decisions about the program.

EAP coordinators play a critical role in providing this data. Their commitment to reporting complete, accurate, and timely information helps EAP deliver better programs and services, justify funding, secure support from key decision makers, communicate transparency and credibility, and measure the progress and success of EAP.

Aggregate data about EAP services is collected for the sole purpose of documenting the effectiveness of the program, establishing accountability, and identifying areas needing improvement. At no time is an individual employee identified.

B. Procedures

1. The EAP coordinator should complete and submit the *Coordinator Statistical Report* electronically each month (see [Appendix](#), *Coordinator Statistical Report*).
2. If the coordinator is not able to submit statistics electronically, the coordinator should complete and submit a hard copy of the statistical report to the regional office.
3. If there is more than one coordinator in an agency, each coordinator must complete and submit a separate report.
4. The coordinator must submit a separate report for each agency for which the coordinator is reporting statistics.
5. The coordinator should also complete a critical incident report (CIR) for each critical incident reported on the statistical report (see Chapter 10, Critical Incident Response, *Documentation of Critical Incidents*).
6. After submitting the *Coordinator Statistical Report*, the coordinator should provide a copy of the report to the EAP committee chairperson for review at the next EAP committee meeting.
7. The deadline for submitting the *Coordinator Statistical Report* is the first of the month following the month for which the statistics are reported.
8. A reminder notice will be sent to the EAP coordinator. The EAP regional representative will follow up with the coordinator if necessary. Repeated failure to submit the statistical report in a timely manner may result in the reevaluation of the coordinator's status as an EAP coordinator.

9. EAP committees may request statistics for their agency or facility from EAP.
10. Detailed instructions for completing the *Coordinator Statistical Report* can be found in the Appendix.

C. Statistical Reporting Webinar

An instructional webinar is available to help coordinators submit timely and accurate statistical reports. Details about the webinar and registration can be found in the EAP training catalog.

Chapter 9: Wellness Program

A. Overview

EAP offers wellness programs for state employees as part of its mission to promote a healthy and productive workforce. Wellness programs help employees establish healthier lifestyles for themselves and enhance the quality of work life for all employees. Research has shown that worksite wellness programs can improve morale, lower health care costs, reduce on the job accidents, decrease absenteeism, and increase productivity.

B. EAP Committees and Wellness

The EAP committee is responsible for developing, implementing, and overseeing wellness programs in state agencies and facilities. The committee may establish a wellness subcommittee to assist with these activities. This subcommittee may include other employees who are interested in wellness.

EAP Committee responsibilities include:

1. Assessment of employee interest and the needs of employees related to wellness programs.
2. Selection of specific wellness initiatives, based on the needs assessment, for implementation in the agency or facility
3. Organization, promotion, and implementation of wellness initiatives
4. Evaluation of the wellness initiatives and dissemination of the results to stakeholders

C. Three Types of Wellness Programs

These wellness programs are designed to increase employee awareness and interest in wellness. They include wellness activities such as lunchtime seminars, health fairs, benefit fairs, health screenings, and distribution of educational information on wellness topics.

1. Lifestyle Change Programs

These programs promote a healthy lifestyle through behavior modification. They include physical activity and fitness initiatives, weight management programs, stress management workshops and seminars, and smoking cessation programs. The WellNYS Everyday Monthly Challenge is a lifestyle change program.

2. Supportive Environmental Modifications

These wellness programs involve support for environmental changes such as offering healthy cafeteria and vending machine choices, installing water bottle filling stations, posting signs encouraging stair use, installing bike racks in well-lit areas, allowing onsite space to be used for physical activity, meditation, and promoting nearby walking paths or routes.

D. Assessing Employee Wellness Needs

The first step in planning a successful wellness program is to survey the employees. The purpose of the survey is twofold: first, it raises awareness among the employees that a wellness program is being planned; and second, it provides valuable input from the employees about what they would like to see in a wellness program. A survey can assist the committee in designing a wellness program, enhance employee ownership and support for the program, encourage volunteers, and by educating employees about the program, increase the likelihood of the program's success. (See the Appendix for a sample wellness survey.)

E. Scheduling and Promoting Wellness Programs

It is important to schedule wellness programs for the time of year when they are most likely to be successful. Certain times of the year have been shown to be more effective than others. The fall, the beginning of a new year, and spring are generally the most effective times of year to offer a wellness program.

A specific time frame for the wellness program, such as one month or six weeks, rather than have it be ongoing, increases the likelihood the program will be successful. Ongoing programs can be offered, but employees tend to drop out if the program is too long. It is also important not to schedule too many programs at the same time. No more than two wellness programs should be offered at a time.

Promotion is an important part of any wellness program. The following are suggestions for promoting a wellness program:

1. Create a flyer and include the name of the program, date(s), and clear and complete registration information. Post the flyer on bulletin boards and online. Ask managers to circulate the flyer within their departments.
2. Begin to promote the program at least three to four weeks before the program's official kickoff. In advertising, there is the "Rule of Seven", i.e., people see an ad seven times before they respond to it.
3. Consider the audience: For example, if the program will be promoted on the agency's or facility's intranet, in many state agencies all the employees will see the promotion, but the program may only be offered to employees in a specific location.

F. WellNYS Everyday

WellNYS Everyday (<https://wellnys.goer.ny.gov>) is an EAP wellness initiative dedicated to educating, engaging, and empowering state employees and their families by encouraging their participation in healthy behaviors. The goal is to increase the number of state employees that choose to eat healthier and become more physically active. To achieve this goal, employees and family members are encouraged to participate in WellNYS Everyday programs such as the Olympic Experience and the Monthly Challenges. These initiatives combine all three types of wellness programs. EAP committees can offer the WellNYS Everyday programs only, or they can offer the WellNYS Everyday programs to complement their own wellness programs.

The WellNYS Everyday website includes the following portals:

1. *WellNYS* Daily Tip

Every morning, a new WellNYS Daily Tip is posted to the website and emailed to employees and their family members. The tip provides creative suggestions, interesting facts, or inspiring quotes related to the current Monthly Challenge.

2. NYS Workplace Walking Maps

This portal includes a Google map of New York State with red flags identifying measured walking routes at a variety of NYS worksites. Agencies and facilities can submit maps at wellNYS@eap.ny.gov

3. Physical Activities around NY

This portal highlights websites that identify opportunities for walking, running, cycling, swimming, kayaking, and hiking as well as triathlons and winter sports in various regions of the state.

4. WellNYS in your Workplace

This portal provides suggestions for ways to engage in healthy behaviors during the workday.

5. I Did It!

Employees and their family members are encouraged to submit success stories through this portal about how they are choosing healthy behaviors. Employees can nominate themselves or others and be recognized for making better wellness choices or for participating in an event such as a walkathon, bike ride, road race, or weight loss challenge.

6. Monthly Challenge

This lifestyle change program offers employees and family members the opportunity to register and track a different healthy behavior for 16 days each month. Monthly Challenges include activities such as participating in physical activity, healthy eating, and reflecting on positive experiences. Participants who complete a challenge receive a certificate. A calendar listing new healthy behaviors is disseminated in January each year.

7. My First or Next 5K

This program encourages NYS employees and family members to complete their first or next 5K. Participants who complete a 5K receive a car magnet, a certificate, and recognition of their achievement on the website.

8. Olympic Experience

This WellNYS Everyday program encourages employees and their families to participate in one healthy behavior for 16 days during the summer and winter Olympics, starting with the opening ceremony and ending with the closing ceremony. Participants who complete 10 days, receive a bronze award; those who complete 12 days, receive a silver award; and participants who complete all 16 days receive a gold award.

G. Components of a Worksite Wellness Program

The following are five components of worksite wellness programs and several suggestions for encouraging employee participation:

1. Physical Activity or Fitness

a. Develop Walking Paths/Routes

An easy way to promote walking is to develop walking routes in and around the worksite. Many people like to know how far they walk and marked paths or routes can be a motivator. Maps can be pocket size for easy use, or they can be large maps posted on or near the walking path or route for easy visibility. Walking maps can be created by using:

- Map My Walk (<http://www.mapmywalk.com>) to create a walking route and print a map of the selected walking route. Make sure the route is safe. It is best to create a shorter walk such as a half-mile loop so employees can easily complete it on a 10-minute break. Longer routes, one to two miles, can also be offered for occasions when employees have more time, such as lunchtime or after work.
- Fitness tracker or a pedometer to map a route.

b. Fit Physical Activity into the Workday

Employees spend a lot of time sitting. The National Center on Healthy Physical Activity and Disability (NCHPAD) offers a poster that shows 20 exercises employees can do at their desk.

http://www.nchpad.org/fppics/deskercise%20poster_updated.pdf

c. Promote Stair Climbing

Encourage employees to track how many flights of stairs they climb by holding a stair challenge in the winter months. The program can be scheduled for a month or six weeks to encourage employees to get up and move during the colder weather. Signage and reminders can help encourage stair climbing. Another way to promote stair climbing is to place interesting artwork in the stairwells. Be sure to obtain permission from the building management.

2. Good Nutrition and Healthy Eating

Promoting good nutrition and healthy eating in the workplace can be encouraged with these activities:

a. Fresh Produce at Worksites:

- Search online at <http://www.nyfarmersmarket.com/> to find summer and winter farmers' markets that are close to state worksites. Publicize which days of the week and times the markets are open and send reminders.
- Organize a Community Supported Agriculture (CSA) program for employees. CSAs have become a popular way for consumers to buy local, seasonal food directly from the farm. In a typical CSA, the farmer offers a certain number of "shares" to the public. A share generally consists of a box of organic vegetables, but other farm produce may be included. The consumer purchases a share and in return receives a box or bag of seasonal produce each week throughout the growing season. Farmers may be willing to make deliveries to the worksite if enough employees participate. CSA shares are generally sold in early spring and deliveries usually begin in June and run through October.
- A Healthy Salad Bowl Luncheon is an easy way to organize a healthy luncheon for employees. The organizer provides a list of salad ingredients to participants and invites them to bring one or more ingredients to share with the group. The group can be large or small. Employees are encouraged to bring a portion large enough for everyone who will be attending. Employees bring their own plate or bowl as well as salad dressing. Healthy Salad Bowl luncheons can be a one-time event, or they can be held on a regular basis.

- Presentations on Nutrition and Healthy Eating can be on any topic related to nutrition or healthy eating, for example, healthy eating on the run, healthy lunches, healthy recipes, or healthy ways to lose weight. Invite a local dietitian to present a lunchtime seminar.

3. Managing Stress

Managing stress effectively in the workplace can be encouraged with these activities:

- a. Identify a room where employees can take a break and relax for a few minutes. Offer a lunchtime program, for example:
 - Guided Imagery Meditation – create a quiet, comfortable environment, such as a conference room, and ask a volunteer to read a meditation script for 10-20 minutes.
 - Coloring Class – provide coloring books, crayons, colored pencils or markers, and have employees participate in coloring for 10-20 minutes.
 - Managing Stress through Music – arrange an open space and play dance music so employees can move their bodies easily for 10-20 minutes.

- b. Quiet Room

Provide a quiet room with comfortable furniture, soft lighting, and calming pictures on the walls. Encourage employees to visit this room on a break or at lunchtime if they are feeling stressed or just need a place to relax. Make sure you advertise the location of the room, hours, and any rules, such as “no food allowed.”

- c. Offer employees brochures or booklets on mindfulness, breathing, yoga, tai chi, coloring, and meditation, or other information on healthy ways to deal with stress.

4. Weight Management

Promoting weight management programs in the workplace can be organized with these activities:

- a. “Weigh-in on Wednesday” is a weight tracking program that encourages employees to track their weight by visiting the EAP office on a weekly basis to weigh themselves in a confidential setting.

This program is helpful for employees trying to lose, gain, or maintain weight. Although it is called “Weigh-in on Wednesday”, the program can be offered

any day of the week. The EAP coordinator or WellNYS ambassador may want to consider offering a weekly support group for participants.

Note: A reliable scale is needed for the program and can be purchased with an EAP grant.

- b. The Weight Watchers program is a weight loss program based on counting points. The program is available in some state agencies. A minimum of 20 people must be registered for the program to be offered onsite. Employees pay Weight Watchers directly at the start of the program and attend weekly weigh-ins and meetings. Check with your agency's human resource department to see if EAP can offer this program.

5. Smoking Cessation, Vaping, and E-cigarettes

Resources for EAP committees and coordinators to help employees quit smoking, vaping, and e-cigarette use include:

a. Smoking Cessation

- The NYS Smokers' Quitline (NYSSQL): The Quitline is a free service of the NYS Department of Health that provides New York State residents with help when they are ready to stop using tobacco. EAP has partnered with the Quitline to promote the Quitline's smoking cessation program to state employees. EAP committees and coordinators can access smoking cessation information and educational materials to promote the Quitline at www.nysmokefree.com or 1-866-NY-Quits (1-866-697-8487).
- American Cancer Society: The Great American Smoke Out is held on the third Thursday in November and is an opportunity for EAP committees and coordinators to promote smoking cessation. Information on quitting, smoking cessation kits, and hard candy can be provided to employees to motivate them to quit smoking or support their decision to quit.
- The Butt Stops Here: Some EAP coordinators are trained to present The Butt Stops Here smoking cessation program and are available to deliver smoking cessation programs to their own and other state agencies and facilities. Coordinators should check with their regional representatives if they are interested in receiving training on The Butt Stops Here program or want to offer it at their worksite.

b. Vaping and E-cigarette Cessation

- For the latest information, and resources on vaping and e-cigarettes, contact: <https://www.nysmokefree.com/FactsAndFAQs/AboutECigarettes>

H. WellNYS Ambassadors

Members of the EAP or wellness committees, or other employees interested in promoting WellNYS Everyday can volunteer to become WellNYS Everyday ambassadors. The WellNYS ambassadors promote WellNYS Everyday throughout the year. A monthly conference call is held with the EAP wellness coordinator and provides ambassadors with opportunities to network with other ambassadors, share best practices and ideas, and brainstorm ways to address challenges.

I. Health Fairs, Benefits Fairs, and Resource Awareness Days

1. Health Fairs

- a. EAP promotes health fairs as an efficient and effective way to make health information, employee health benefits, screenings and other health resources available to large numbers of employees in one convenient location. They are popular and well-attended events and many agencies and facilities hold annual health fairs. (See a sample timeline on how to organize a health fair in the Appendix.)
- b. Generally, the EAP committee organizes and sponsors an *EAP Health Fair*. The human resources department or the unions may also sponsor such an event. Whether or not EAP sponsors the health fair, the EAP committee should request information about EAP services be available at the event, and the EAP coordinator and committee members should staff a table with promotional materials at the event. If EAP sponsors the event, the EAP logo should be on the promotional materials.

Note: The EAP committee should obtain permission from the agency or facility before holding a health fair and ensure the committee complies with the agency's or facility's policy on holding such events.

- c. *EAP Health Fairs* typically consist of staffed booths or tables that offer information, demonstrations, activities, screenings, and other resources to educate employees and promote awareness of employee health benefits. Screenings generally include cholesterol, blood pressure, glucose, hearing, vision, and breathing. Local hospitals often provide worksite screenings at a reasonable cost. EAP grants are available for screenings and may cover all or a portion of the cost of the screenings.
- d. The EAP committee should invite only nonprofit organizations to participate in *EAP Health Fairs* to avoid a conflict of interest or the appearance of a conflict of interest, preferential treatment of one vendor over another, or the circumventing of the State's contracting process. If the EAP committee wishes to include other vendors, the committee should discuss this with the EAP regional representative and obtain approval from the human resources director or management of the agency or facility.

Note: The EAP committee should obtain permission from the agency or facility before holding a health fair and ensure the committee complies with the agency's or facility's policy on holding such events.

- e. If the agency or facility wants to include for-profit organizations in the health fair, EAP can still participate in the fair, but cannot sponsor it.
- f. Any participation in an *EAP Health Fair* by NYSHIP health plans, i.e., Empire Plan and NYSHIP HMOs, must be approved and coordinated through the Employee Benefits Management Unit (EBMU) (see [Appendix, Guidelines for NYSHIP Participation at New York State Agency Health Fairs](#)).
- g. *EAP Health Fairs* must include information on tobacco, vaping and e-cigarette cessation. The NYS Smokers' Quitline and many not-for-profit organizations, such as the American Heart Association and the American Cancer Society will provide educational materials on smoking, vaping and e-cigarette cessation and some may staff a booth at a health fair.
- h. Resource providers should not sell products or services at the EAP Health Fair but should instead offer education in their area of expertise. For example, a local chiropractor might provide education about spine health, but should not sell his or her book on spine health at the *EAP Health Fair*.

2. Benefit Fairs

EAP committees can organize and sponsor an *EAP Employee Benefits Fair*, which is similar to a health fair, but may include non-health related benefits such as NYS Deferred Compensation, Flex Spending Account, and the NYS Retirement System. Health fairs and benefit fairs are often combined. (See Health Fairs above for details.)

3. Resource Awareness Events

EAP committees may be asked to organize and sponsor resource awareness events which are events that include nonprofit organizations *and* for-profit organizations that are not eligible to participate in health fairs and benefits fairs, but can be valuable resources for employees, for example, child care centers, financial consultants, attorneys, and banks. Agencies and facilities may hold resource awareness events, but EAP should not sponsor these events. EAP committees can participate in them by staffing a booth or table at the event and providing information about EAP services to employees.

Note: There are vendors or companies that offer to organize health and benefits fairs free of charge or for a nominal fee. EAP may *not* contract with these vendors or companies to organize and hold any such events for state employees.

J. WellNYS Grants

EAP offers WellNYS Grants to local EAP programs to encourage the creation of health and wellness programs for state employees. At the beginning of the WellNYS Grant cycle, the WellNYS Grant Guidelines and the WellNYS Grant Application are sent to EAP committees that have an EAP coordinator or WellNYS Ambassador. The WellNYS Grants may be used to develop a wellness program in one of the following categories:

- Walking programs
- Healthy eating programs
- Weight management programs
- Wellness awareness programs
- Creative Choice programs

For more information about the Wellness Grants, contact the NYS EAP main office.

K. Disclaimer

All wellness activities and materials should include the following disclaimer:

This information is for educational purposes only and is not intended to provide medical advice. Please consult with your physician or other health care provider before making any dietary changes or beginning a fitness or exercise program.

Participants should also be reminded that participation in wellness activities must be on the employee's own time or adhere to agency time and attendance policies.

Chapter 10: Critical Incident Response

A. Overview

When agencies and facilities experience a crisis, they often turn to EAP for assistance. Whether the crisis involves a major event that impacts the viability of the entire agency or an isolated incident that impacts a small number of employees, it is important to the agency's or facility's recovery that there is a plan in place to deal with the crisis.

EAP can help agencies and facilities develop a crisis response plan, and in the event of a crisis, help them implement the plan, contain the crisis, and recover from its impact.

B. Crisis and Critical Incident

A *crisis* is generally defined as a sudden, unplanned event that has a wide-reaching and prolonged adverse impact on an organization, its employees, and often, the public. This may include acts of terrorism, layoffs, security breaches, a wide-spread weather event, the death of a senior manager, extensive power outages, etc.

A *critical incident* is a crisis that is usually a localized, sudden, unexpected, and highly stressful event that impacts an agency or facility, the workplace, and its employees. A critical incident generally has a low potential to adversely impact the larger organization. Over time, however, a critical incident may become a full-blown crisis affecting many employees.

Critical incidents include:

- Death of an employee, resident, inmate, student, patient, client, contractor, visitor, volunteer, customer, etc.
- Serious workplace injury
- Suicide or homicide
- Workplace violence
- Serious health emergency
- Localized natural disaster such as a flood, hurricane, ice storm, or tornado (if prolonged, these may become a major crisis)

Although EAP coordinators can be asked to respond to a major crisis, they are more frequently asked to assist employees and agencies affected by critical incidents. While most employees are resilient and recover from a disaster or catastrophic event without intervention, others may need assistance to “bounce back” from such a stressful event. This chapter focuses on critical incidents.

Examples of critical incidents:

- Employees witness the accidental death of a co-worker in the workplace.
- A supervisor goes to the home of an employee who fails to show up for work and finds the employee dead.

- An employee has a heart attack in the workplace.
- Several employees are seriously injured in an automobile accident while working
- An employee commits suicide over the weekend and co-workers learn of this when they arrive for work Monday morning.
- Employees witness a co-worker being removed from the workplace by police.
- Employees experience widespread layoffs or job relocations.
- Employees discover an inmate has hanged himself in his cell.
- A fire destroys part of a facility including many files and other documents.
- An employee is involved in a murder/suicide.
- Major floods damaged or destroyed the homes of many employees.
- Employees witness a robbery in the workplace.

In the event of a critical incident, EAP coordinators can help agencies and facilities coordinate a response. This may involve completing a needs assessment; making referrals to community crisis response services, such as Hospice and the Red Cross; meeting with individual employees to provide assessment and referral services; monitoring the situation over the days and weeks following the incident; and following up with employees and management impacted by the incident. After the critical incident, the coordinator can assist management in providing training to address issues arising from the critical incident and developing policies for the prevention of future incidents.

C. Policy

1. If an agency has a crisis policy, that policy should be followed. The EAP coordinator should know whether the agency has a crisis policy and should be familiar with the policy. The EAP coordinator should also understand the role of EAP and the EAP coordinator as delineated in the policy. Note: Some agencies include the crisis policy in their workplace violence policy.
2. If an agency does *not* have a crisis policy, the following guidelines should be followed:
 - a. When a crisis or critical incident occurs, management or a union official should inform the local EAP coordinator. The EAP coordinator should offer to assist the agency in formulating a response to the event.
 - b. If the EAP coordinator learns of a critical incident, the coordinator should contact management to offer EAP services, including a needs assessment, and notify the regional representative of the critical incident.
 - c. Immediately following a critical incident, the EAP coordinator can meet with employees individually or in groups to offer support, explain the role of EAP, and provide information and educational materials on issues such as stress or grief and what to expect after a critical incident.

- d. Coordinators may offer assessment and referral services to individuals to help them deal with the effects of the critical incident and move through the grieving process.

Note: EAP coordinators must *not* provide critical incident stress debriefing (CISD) or conduct *group* grief and loss sessions. These services require special training which is currently not offered to EAP coordinators. Some coordinators are, however, trained to provide critical incident stress debriefing and group grief sessions. If an agency asks an EAP coordinator to provide these services to employees, the coordinator does so only under the authority of the coordinator's agency and is not acting under the authority of EAP. If asked to provide debriefings, the coordinator should consult with the EAP regional representative to determine the appropriate response to the agency's or facility's request for these services.

D. Critical Incident Response: Agency

In the event of a critical incident, the EAP coordinator, in consultation with agency management agency staff and the EAP regional representative, should gather information about the event, conduct a needs assessment, decide on the most appropriate response, and develop a plan of action based on the nature of the event.

Example: A well-known employee dies unexpectedly.

1. The coordinator can meet with management or a supervisor to gather information about the nature of the death (whether the death was an accident or the result of an illness, whether it was offsite or onsite, the employee's position in the agency or facility and relationship to other employees, length of service, etc.)
2. The coordinator can share with management what services and information EAP can provide to the agency (needs assessment, bereavement literature, help planning a memorial service, referrals to professionals trained in CISD and grief counseling, how to share information about the death with co-workers, etc.)
3. The coordinator can share with management what services EAP can provide to the employees (information, support, individual assessments, referrals, etc.)
4. In conducting a needs assessment, the EAP coordinator should consider such factors as the nature of the death, the number of employees affected, the relationship between the employees and the deceased, and the impact of the event over time. EAP coordinators can assess these and other factors and help management decide on a plan of action.
5. The EAP coordinator should have ongoing communication with management during the assessment phase and should continually monitor and evaluate the effectiveness of interventions and the overall recovery of the workplace.

6. The EAP coordinator should maintain a presence in the workplace after a critical incident to increase awareness of the availability of EAP services and to encourage employees who are having difficulty dealing with the stress of the critical incident to seek assistance. The coordinator, and the regional representative, should follow up with management as well.
7. If requested, the EAP coordinator may assist the agency in developing a crisis policy and providing training to address issues arising from the critical incident, for example, training on stress management, dealing with loss, or wellness.

Note: Coordinators may be asked to assist in arranging for debriefings and grief and loss sessions for *groups* of employees. Coordinators cannot provide these services and should maintain a current list of community resources and professionals who provide these services in their regions.

E. Critical Incident Response: Employees

EAP coordinators can offer assistance to employees who have been affected by a critical incident including:

1. Listening, often one of the most important and effective ways to help and support someone who has experienced a stressful event.
2. Sharing information about EAP services and confidentiality, and how to access EAP services.
3. Providing general information about resources to deal with the critical incident, such as information about government assistance programs in the event of a flood or hurricane, or how to talk to children about death.
4. Providing information about common reactions to grief and loss and what the employee can expect to experience after a critical incident, as well as healthy ways to cope with stressful events.
5. Meeting with employees to do an assessment and providing referrals to community resources for additional assistance if needed.

F. Documentation of Critical Incidents

The EAP coordinator should immediately notify the EAP regional representative when there is a critical incident and consult with the regional representative regarding the appropriate response. The coordinator should complete a critical incident report (CIR) within one week of the incident and submit it to the regional representative (see Appendix, *Critical Incident Report*).

G. Speaking with Media

The EAP coordinator should *not* speak with the media about a critical incident without permission from the agency, EAP, and GOER. (See Chapter 2, L. EAP Ethical and Legal Policies, Media Communications Policy).

Chapter 11: Providers and Other Resources

A. Overview

The success of EAP's assessment and referral model is dependent upon the quality of its resources. EAP offers a wide range of resources to enhance and improve the well-being of state employees and their families. EAP coordinators maintain a comprehensive and current resource file of local, state, and national resources, and they are encouraged to develop positive working relationships with resource providers to facilitate timely, appropriate, and effective referrals. Coordinators are also knowledgeable about state health insurance benefits and other negotiated benefits for state employees. An extensive list of resources can be found on the EAP SharePoint site.

Note: EAP does not endorse any provider or service nor does it guarantee the quality or efficacy of the services provided.

B. Resource Development

1. Policy Description

Coordinators are responsible for creating and maintaining up-to-date resource files of local, state, and national resources. They are expected to research various resources to identify the types of services that are available for employees and their family members. Resources should address a wide range of problems such as financial, legal, mental health, and substance abuse and also provide information about everyday issues like childcare and housing. Coordinators should also identify local providers who offer crisis response services. EAP regional representatives should research resources and maintain resource files to share with coordinators.

2. Procedures

- a. EAP coordinators are encouraged to meet with local providers, as schedules permit, to learn about the services the providers offer and to establish lines of communication for facilitating future referrals. Visits to providers and facilities must be approved by the EAP regional representative and the EAP committee.
- b. Many providers, if invited, will visit a coordinator in the EAP office to share information about their practices, organizations, or treatment facilities.
- c. Part-time coordinators are not expected to spend an inordinate amount of time visiting providers. They must balance the time spent on their EAP duties with the need to fulfil the responsibilities of their other jobs. They should, however,

- d. consider developing resources an integral part of their coordinator responsibilities and should plan to use some of their allotted time each week for resource development, especially if they have not used the time to meet with clients. Good judgment about the use of their time should be exercised by EAP coordinators. They should seek guidance from their EAP committees and EAP regional representatives if needed.
- e. Coordinators should create and maintain a file of current local, state, and national resources and update the file annually. The Resource Provider Information form may be used as a guide (see Appendix, Resource Provider Information).
- f. Coordinators should share resources with other coordinators and with their regional representatives.
- g. Regional representatives should share resources with coordinators. Coordinators are encouraged to take advantage of the regional representative's in-depth knowledge of resources, especially part-time coordinators who may have limited time to develop resource files themselves.
- h. EAP coordinators should be knowledgeable about NYS health insurance benefits and should verify a provider is covered by the employee's insurance plan when making a referral.
- i. EAP coordinators should be familiar with the WLS programs and other negotiated benefits for state employees and include information about these programs in their resource files.
- j. EAP coordinators, as well as regional representatives and other EAP staff, must avoid any conflict of interest in the selection of resources. They may not refer employees to their own private practices. They may not refer a client to an agency or facility where they or a family member are employed. In areas where there are limited resources, a coordinator may refer a client to an agency or facility where he or she is employed, but the client must be assigned to another staff at the agency or facility, and the coordinator must discuss referral with the regional representative before making the referral. Under no circumstances may the client be assigned to the EAP coordinator.
- k. EAP coordinators and committee members may not accept gifts from resource providers. However, EAP policy permits EAP coordinators and committee members invited, as part of a larger group, to tour a treatment facility to accept food or beverage valued at \$15 or less per occasion when the meal is offered to all the attendees. (See Chapter 2. EAP Ethical and Legal Policies, Gift Prohibition.)
- l. The EAP regional representative and the EAP committee should review the EAP coordinator's resource file annually.

3. Examples of Information to be Included in a resource file:

- Contact information including hours, and location
- Availability and flexibility in scheduling routine and emergency appointments with providers
- Fees and payment options, including whether there is a sliding fee scale, and acceptance of various insurance plans
- Feedback from employees and other EAP coordinators who have referred to the provider or used the resource
- Populations served (ex., adolescents, children)
- Specialties (ex., addiction, anger management, relationships)
- Diversity
- Accessibility

C. Provider Request for Distribution of Information

1. Policy Description

EAP staff and coordinators may be contacted by providers who wish to distribute information about their services. These requests can complement EAP's goal of maintaining a comprehensive resource file. Therefore, distribution of provider information is permissible. However, EAP does *not* endorse or promote any provider or service nor can it speak to the quality or efficacy of the services provided.

2. Procedures

- a. When the EAP main office receives information from providers about their services, the information will be reviewed and forwarded to the appropriate EAP regional representative for inclusion in the regional representative's resource file and distribution to EAP coordinators in the region. The resource can also be posted on the SharePoint site.
- b. When EAP coordinators receive unsolicited information directly from providers, they should forward the information to their EAP regional representatives for review, and if appropriate, distribution to other coordinators in the region. The resource can also be posted on the SharePoint site.