

PROGRAM MANAGEMENT

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STAFF RECRUITMENT AND MANAGEMENT *

Includes all salaried, contracted, part time and full time staff and service providers

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PROGRAM MANAGEMENT
Individual User Services

<p style="text-align: center;">TOPIC Intake and referral</p>
<p style="text-align: center;">DEFINITION AND PURPOSE</p>
<p>Intake refers to the first point of personal contact when a client voluntarily contacts the EAP. The client may call to inquire about the services, in crisis/distress or to arrange for referral to counseling or other EAP services.</p>
<p style="text-align: center;">PRINCIPLE</p>
<p>For EAP users, the call to access services is the first touch point for receiving services. This call offers the EAP provider a unique opportunity to reassure the caller, engage them and collect initial information to allow for the best possible service delivery.</p> <p>Callers wishing to access the EAP, often call in a window of opportunity, both in a practical sense and from a clinical perspective with optimal openness to making change in their lives through the EAP. Ease of access ensures that callers will not be deterred from the service and allows for the opportunity to engage the caller for ongoing support</p>
<p style="text-align: center;">TOPIC Accessibility</p>
<p style="text-align: center;">STANDARD</p> <ul style="list-style-type: none">• The EAP provider will respond to intake calls in a timely manner.▪ The EAP provider will provide live answer during business hours▪ In the event that the EAP provider does not offer immediate live answer for intake calls, each caller will receive instructions how to access immediate crisis support.▪ After hours callers will receive instructions how to access immediate crisis support▪ After hours callers will receive a call back, no later than next business day
<p style="text-align: center;">EVIDENCE</p> <p>The EAP provider will have documented and defined metrics for responsiveness.</p> <p>The EAP provider will assess and monitor responsiveness to intake call, through technology where available and/or through a user feedback mechanism.</p> <p>The EAP provider will have protocols to action, investigate and remedy challenges or complaints regarding intake responsiveness.</p> <p>The EAP provider will be transparent to customers with regard to complaints from the customers users, investigation and actions taken.</p>

<p style="text-align: center;">TOPIC Intake Script and Client Rights</p>
<p style="text-align: center;">STANDARD</p> <p>In compliance with confidentiality requirements and in order to reassure the caller, staff accepting service access calls from eligible EAP users will review appropriate information with regard to confidentiality and customer rights.</p> <p>At time of intake, the EAP provider will review with each caller:</p> <ul style="list-style-type: none">▪ confidentiality of the call▪ eap offerings▪ confidentiality of the eap services▪ reason for data collection▪ complaint protocols▪ next steps in referral
<p style="text-align: center;">EVIDENCE</p> <p>The EAP provider will have a documented standard intake script. The EAP provider will provide new intake staff with appropriate training during on-boarding and follow up training as needed.</p>

TOPIC Qualifications /training of the intake staff
STANDARD
<p>Intake staff will have appropriate qualifications and training (educational and in-house) in order to fulfill their mandate effectively and carry out standard intake, crisis/distress and reportable behavior protocols.</p> <p>Training should include but not be limited to:</p> <ul style="list-style-type: none">▪ Intake script▪ EAP▪ Active listening▪ Assessment of crisis & urgency of call▪ Initial ability to contain crisis▪ Protocols for responding to crisis and distress calls▪ Documentation of relevant data
EVIDENCE
<ul style="list-style-type: none">▪ The EAP will have▪ Documented training materials and handouts▪ time and date of initial training▪ time and date of update and refresher training▪ documented attendee scores on knowledge testing▪ documented attendee feedback
TOPIC Supervision
STANDARD
<p>Intake staff will receive supervision on a regularly scheduled basis to ensure ongoing compliance and knowledge of protocols.</p> <p>Intake staff will have 24/7 access to supervisory support for crisis/distress cases, cases which may require suspension of confidentiality and debriefing of challenging/traumatic calls.</p> <p>Supervisory staff will have appropriate clinical qualifications and seniority to support Intake staff.</p> <p>Supervisory staff may monitor calls to ensure quality of service.</p>
EVIDENCE
<p>The EAP will have documentation</p> <p>Time and date of supervisory meeting</p> <p>Notes of relevant topics discussed at supervisory meeting.</p> <p>Notes and observations of call monitoring</p>

TOPIC Documentation
STANDARD <ul style="list-style-type: none">○ The EAP will comply with national norms and legislation regarding documentation.○ The EAP will comply with industry norms for documentation.○ The EAP will comply with the highest standard○ At time of intake EAEF will document<ul style="list-style-type: none">○ confirmation of verbal review of confidentiality of intake and EAP○ confirmation of review of client rights/complaint protocols○ relevant demographic and presenting problem information to ensure optimal matching to EAP support○ indications of crisis or safety concerns, and steps taken to address crisis/concerns○ The EAP will limit data collection to data relevant to fulfilling access and intake function.○ The EAP may collect data at access, in response to customer request, provided data collection and reporting does not interfere with protection of confidentiality of access and confidentiality of identifiable client information.○
EVIDENCE <p>Documentation will be stored in a secure location – either hard copy or in electronically with access limited to a need to know basis. Documentation is available for audit by in house supervisors and in a non identifying manner for third parties as requested by customers.</p>

TOPIC Referral
STANDARD <ul style="list-style-type: none">○ The EAP will facilitate referrals in accordance with the urgency of need, priority referral for high risk and urgent cases and longer turn around for routine referrals.○ The EAP will attempt to facilitate referrals in accordance with client preference (i.e. gender /proximity) and or expertise match to client presenting problem.○ The EAP will facilitate all referrals in a timely manner -○ The EAP will facilitate referrals via confidential means, minimizing risk of accidental disclosure of confidential identifiable client information. (i.e secure protected fax or voice mail or with non identifiable case code on less secure platforms).○ The EAP will verify and document successful referral with the accepting affiliate/ service provider.
EVIDENCE <p>The EAP will have documented standards for referral times in accordance with client need and urgency.</p> <p>The EAP will have documentation of referral timelines and due diligence actions.</p> <p>The EAP will have feedback mechanisms (follow up calls, satisfaction surveys) for clients with regard to referral time.</p> <p>The EAP will have documentation of feedback from clients and actions taken where necessary.</p>

TOPIC
Case management: Quality and Effectiveness
DEFINITION & PURPOSE
The EAP will monitor the clinical quality of services provided by the counsellors with regard to : effectiveness and positive outcome of counselling, client satisfaction, professionalism of the provider
PRINCIPLE
EAP users are entitled to serves which are proven to be effective and of the highest quality. Clients will be provided with a safe and confidential platform to share feedback or concerns with the EAP. The corporate customer can expect that their EAP provider will provide accountability for operating to the highest standards of service delivery.
STANDARD
. The EAP will monitor the quality and effectiveness of client services through a number of methods including but not limited to: Counsellor supervision and consultation Case documentation review Counsellor audits Standardized client satisfaction surveys & monitoring of feedback Follow up calls by a different party than the client counsellor. Review of less than satisfactory feedback, recommendations for action and implementation of recommendations Client feedback will be subject to the same principles of confidentiality as disclosure during counselling and may be provided anonymously. Client feedback will include, but is not limited to: Professionalism of the provider Gains of counselling Confidentiality protocols Overall satisfaction with EAP services Quality assurance concerns will be shared with the corporate customer in an aggregate and non identifying manner.

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EVIDENCE
<p>The EAP will have provide all EAP uses with the opportunity to provider feedback through a written or verbal survey. EAP users will be provided contact information in the even of concerns or complaints The EAP will have clearly described quality assurance protocols and guidelines. The EAP will keep written records of quality assurance documents and reviews. (i.e. complaint investigations, satisfaction surveys and counsellor audit reports)</p>

TOPIC
Case management Clinical Assessment
DEFINITION & PURPOSE
Clinical assessment is the collection by the clinical service provider of data needed to establish goals of counselling and best course of action to achieve identified goals.
PRINCIPLE
EAEF views assessment as the cornerstone of our clinical work with employees of our client organisations. Each client* will receive a through assessment by the clinical counselling provider in order to ensure that their concerns are heard , establish suitability for EAP intervention, and that the subsequent course of action will achieve the desired goals and problem resolution for the client.
STANDARD
Each clinical assessment will include: <ul style="list-style-type: none">▪ Risk assessment<ul style="list-style-type: none">○ harm to self○ harm to others○ harm to workplace▪ Level of urgency▪ Clearly described presenting problem▪ Impact in the workplace and vice versa▪ Clear reflection of client expectations of EAP outcome▪ Relevant history (i.e. history of presenting problem, previous attempts at problem resolution)▪ Review of relevant medical conditions & mood altering medications▪ Rule out potential risks of psychopathology▪ Rule out potential risks of substance abuse▪ Suitability for EAP engagement.▪ Review of available resources (social network/support, community resources etc).▪ Clearly described goals of counselling and outcomes. <p>Providers will have a range of approaches to gathering assessment</p>

data. EAEF does not expect any one model to be used, as long as the approach taken covers the main areas outlined in this Standard.

EVIDENCE

EAP counsellors will receive training with regard to EAP assessment and documentation expectations.
EAP counsellors receive a documentation template for EAP cases.
Counsellor completion of documentation will be monitored by EAP clinical and/or administrative supervisors
EAP assessment documentation will be reviewed by EAP supervisor for quality assurance and case management purposes.

TOPIC
<p style="text-align: center;">Case Management Face to Face Counselling</p>
DEFINITION & PURPOSE
<p>Face to Face counselling occurs when an EAP client meets in person with a qualified EAP counsellor with the intent of conducting assessment, intervention and change /problem resolution with regard to client identified psycho/social problems or goals.</p>
PRINCIPLE
<p>Face to face counselling by qualified counsellors will be made available to EAP clients</p> <ul style="list-style-type: none">▪ at client request▪ for cases clinically and ethically unsuited for other modalities of counselling▪ where ever possible within reasonable travel distance/time for the client.▪ to the full extent of the client EAP eligibility for service.
STANDARD
<p>The EAP will maintain a network of EAP trained and qualified counsellors in key customer locations. EAP will maintain a sufficient coverage in key locations to ensure timely referral. The EAP will network of EAP counsellors will reflect diversity needs in user population as much as possible (male /female, culture, religion, ethnicity). The EAP will maintain a network of EAP counsellors with appropriate expertise to match client EAP appropriate presenting problems. The EAP will ensure ongoing coverage upon termination or relocation of existing counsellor resource.</p>
EVIDENCE
<p>The EAP will be able to provide aggregate statistics of counsellor network, including but not limited to: Location</p>

Qualification

Specialization

Special needs match

The EAP will have written recruitment criteria and policies.

TOPIC
Case Management Risk assessment protocols
DEFINITION & PURPOSE
The EAP is mandated to work to the best interest and safety of individuals accessing their services, as well as the safety of those at risk of harm from a client, both in and outside the workplace.
PRINCIPLE
Risk screening should be integral to EAP service pathways, not only at first contact, but also in response to risk factors which present themselves at any point during a client's interaction with a provider organisation.
STANDARD
At first contact all EAP clients will be assessed for: risk of harm to self, risk of harm to others risk of harm by another person Immediacy of risk. During counselling EAP clients verbalizing risk factors will be re-assessed for risk of harm to self or others, risk of harm by others and immediacy of risk. Findings of high risk and immediate or imminent will lead to clearly defined response strategies to ensure safety of the at risk individual, and in compliance with local law. Staff conducting intake will be trained with regard to risk assessment and protocols.
EVIDENCE
The EAP will have written protocols for risk assessment, response strategies and documentation, in compliance with local law. The written protocols for risk assessment, response strategies and

documentation will be incorporated in on-boarding and training of clinical operations staff and affiliates.
The EAP will have documentation of staff training with regard to risk protocols.

TOPIC
Client Rights
DEFINITION & PURPOSE
<p>Client rights are the rights of the individual in relation to the EAP and the obligations of the EAP in relation to the client. Client rights are intended to ensure integrity of service, client safety and protection from conflict of interest with the EAP.</p> <p>.</p>
PRINCIPLE
<p>Every client is entitled to certain rights just by the nature of his/her role as a client. It is the purpose of this topic to define a list of rights for any client who contacts an EAP program regardless of gender, nationality, race, sexual orientation or religion</p> <p>Individuals have the right to receive full information from the potential treating professional about that professional's knowledge, skills, preparation, experience, and credentials.</p> <p>Individuals have the right to be informed about the options available for treatment interventions and the effectiveness of the recommended treatment.</p> <p>Individuals have the right to be informed by the treating professional of any arrangements, restrictions, and/or covenants established between their companies and the treating professional that could interfere with or influence treatment recommendations. Individuals have the right to be informed of the nature of information that may be disclosed for the purposes of paying benefits.</p> <p>Individuals have the right to receive information about the methods they can use to submit complaints or grievances regarding provision of care by the treating professional to that profession's regulatory board and to the professional association.</p> <p>Individuals have the right to be provided information about the procedures they can use to appeal benefit utilization decisions to the third party payer systems, to the employer or purchasing entity, and to external regulatory entities.</p> <p>Individuals have the right to be guaranteed the protection of the confidentiality of their relationship with their mental health and substance abuse professional, except when laws or ethics dictate otherwise. Any disclosure to another party will be time limited and made with the full written, informed consent of the individuals.</p> <p>Individuals shall not be required to disclose confidential, privileged, or</p>

other information other than diagnosis, prognosis, type of treatment, time and length of treatment, and cost.

Information technology will be used for transmission, storage, or data management only with methodologies that remove individual identifying information and assure the protection of the individual's privacy.

Information should not be transferred, sold, or otherwise utilized.

Individuals have the right to choose any duly licensed/certified professional for mental health and substance abuse services.

Individuals have the right to receive full information regarding the education and training of professionals, treatment options (including risks and benefits)

STANDARD

1. The EAP must take into account all patient rights on the development of their quality assurance programs.

2. All EAPs must maintain the confidentiality of clients and fully disclose conditions that limit confidentiality such as company policies, statutes, regulations, or court orders.

3. All individuals have a right to receive information from the treating professionals regarding their experience, skills, preparation and credentials.

4. All individuals should be informed of complaint and grievances procedures.

EVIDENCE

All Quality Assurance programs should include this inalienable rights on their processes and outcomes

Clients are made aware of their client rights.

TOPIC
Confidentiality
DEFINITION & PURPOSE
The employee assistance program shall prepare and implement a written policy of confidentiality that reflects applicable laws, professional standards and ethics, and that clearly elucidates all limits of confidentiality.
PRINCIPLE
EA Program success and credibility hinge on confidence by all parties that the EAP respects their privacy and will appropriately protect the information that they disclose.
STANDARD
<ol style="list-style-type: none">1. An EAP reports utilization trends to the organization using aggregate data that does not identify individuals. In cases where particular data categories might allow individuals to be identified, the EAP does not report those categories.2. The confidentiality policy must be regularly evaluated to ensure continuing compliance with changing requirements.3. The EAP must explain EAP confidentiality to all eligible recipients and organization leadership during EAP promotional activities and through written materials.4. The EAP must request that all clients who are seen in person by the EAP read and sign a "statement of understanding" that describes limits to confidentiality. Clients whose only contact with the EAP is by phone must be told of the limits of confidentiality and this must be documented in the client's EAP record.5. The EAP must inform clients when their confidentiality or other protective rights are impacted by statute or regulations or organization policy.6. The EAP must regularly instruct all EA personnel, including affiliates, in techniques for protecting confidential information.7. The EAP must operate in compliance with statutes and regulations pertaining to the protection of personal information and EAP confidentiality.8. Information obtained through the EAP's consultative role in the organization, such as supervisory or critical incident response consultation, must be protected and shared only on a limited and clearly defined "need to know" basis.9. The organization's proprietary information must be protected and

treated with professional discretion and integrity.

10. The EAP must advise the organization of situations where EAP communications, even if released with proper authorization, may be inappropriate and/or detrimental to the EAP client or program.

EVIDENCE

The EAP must maintain the confidentiality of clients and fully disclose conditions that limit confidentiality such as company policies, statutes, regulations, or court orders. When designing an EAP, the EAP and the organization's leadership determine the implications for confidentiality of:

- a) State mandated reporting
- b) Labor agreements
- c) Danger to others
- d) Company policies
- e) Drug testing regulations
- f) Applicability of local regulations

TOPIC
Managerial Referrals
DEFINITION & PURPOSE
The Employee Assistance Program is developed on the basis that the majority of referrals to their services are self-referrals. However there are situations where an employee could be referred by his/her manager to the EAP, in order to handle such situations the EAP shall prepare and implement a written policy of managerial referral system.
PRINCIPLE
Managerial referral is an important and integral component of an EA Program, it should be clearly defined for all stakeholders in order to avoid any misunderstanding or misuse.
STANDARD
<ol style="list-style-type: none">1. A clear procedure should be in place for managerial referral. This procedure will have been agreed between the customer organisation and the EAP. Where mandatory referrals are included they should be explained carefully to avoid any suggestion of coercion.2. The concept itself and the procedures around managerial referrals are explained in the organisation's EAP literature and employee and managerial briefings/training.3. When an employee has been referred to the EAP a case manager or counsellor with significant experience will monitor the initial assessment and action plan and subsequently the quality of assistance provided.4. An employee signs a written consent form which clearly details the level of feedback to be given to the referring manager.
EVIDENCE
The employee should reassured that his/her manager will receive no feedback without the employee's written consent with the exception of a brief acknowledgement that the employee has made contact and is progressing with an appropriate plan. A vital component of an effective managerial referral system is that the managers receive training. Manager training aims to inform them of the consultancy available to them to plan a formal referral.

TOPIC
· Implementation & Service Delivery Account Management & Reporting
DEFINITION & PURPOSE
The employee assistance program shall evaluate the appropriateness, effectiveness, and efficiency of its services and operations. As in each service delivery there should be clear definitions of roles of the provider and the client, this standard aims to identify necessary role definitions and reporting deliverables and service delivery level by service provider.
PRINCIPLE
The implementation and meaningful evaluation of an EAP depends on having measurable program objectives and data collection mechanisms. These should be developed early in a program's planning process. Data that measure program effectiveness should be gathered routinely and analyzed to evaluate progress toward each objective. A well-run EAP should continually reassess EA services with respect to the needs of the client and organizational customer and adjusts EAP objectives accordingly.
STANDARD
<ol style="list-style-type: none">1. The EAP must develop a written implementation plan which includes at least the following:<ul style="list-style-type: none">○ Launching date○ Communication plan for employees○ Brochures and other informative materials2. When designing an EAP, the EAP and the organization's leadership determine the reporting format according to confidentiality principles3. The EAP must maintain the confidentiality of clients and fully disclose conditions that limit confidentiality such as company policies, statutes, regulations, or court orders.4. An EAP reports utilization trends to the organization using aggregate data that does not identify individuals.5. In cases where particular data categories might allow individuals to be identified, the EAP does not report those categories.6. The EAP must develop a written evaluation plan which includes at least the following:<ul style="list-style-type: none">○ A statement of the program's goals and objectives○ Description of the evaluation methodologies that will be used to determine if the program has met its goals and objectives.

- A plan of action, including a timetable, for completing the evaluation.
3. The EAP must conduct the evaluation at least annually in accordance with the evaluation plan.
4. The evaluation process must include mechanisms to obtain stakeholder feedback about the program, its services, and organization and employee support for its goals and objectives.
- With participant consent, the EAP conducts satisfaction and outcome surveys of program services.
 - The EAP conducts a survey of the organization's leadership regarding the effectiveness of EA services
 - The EAP solicits feedback from EA network providers regarding their experience.

EVIDENCE

The EAP should develop a mechanism to incorporate the results of all program evaluation efforts into a continuous improvement process. An EAP produces and distributes a report of the results of the evaluation periodically.

The report may includes but not limited to:

- A summary of the period's goals and objectives
- A description of the evaluation methods used during the period
- Results of the evaluations
- A follow-up plan of action based on the evaluation results, including specific steps to be taken to enhance program processes and outcomes

QUALITY ASSURANCE

TOPIC
Quality Assurance
DEFINITION & PURPOSE
<p>Quality Assurance refers to all protocols, actions and legislative compliance that an EAP implements to proactively monitor and ensure:</p> <ul style="list-style-type: none">• quality of service to user clients and corporate clients,• compliance with standards and legislation,• response to complaints, grievances or• self identified shortfalls in quality of service. <p>In order to create credibility, integrity and trust in the EAP, corporate customers and user clients must be confident that the EAP will provide:</p> <ul style="list-style-type: none">• the highest quality of service• EAP accountability for monitoring of standard compliance and continuous improvement• EAP responsiveness and resolution of complaints or grievances.

TOPIC Continuous Improvement
PRINCIPLE As the EAP customer and client needs change and the EAP organization grows, it is crucial for that the EAP reviews , deliverables, protocols and processes in order to ensure ongoing vigilance and quality.
STANDARD In order to establish ongoing effectiveness, efficiency and quality of service the EAP should establish clearly described protocols, objectives of service and metrics. The EAP should establish a regularly review protocols, objectives and metrics that have been collected. Where it appears that standards are not being met, the EAP will initiate action for improvement. The EAP should provide a safe platform for staff to provide feedback with no repercussions to their position or relationships in the organization and encourage staff to proactively share opportunities for improvement.
EVIDENCE The EAP will document: protocols for quality assurance monitoring Identified stakeholders who participate reviews and monitor quality in their area of expertise or collaboration Scheduled reviews Documentation of observations, recommendations and actions taken Clearly described secure platforms and policies for internal feedback Protocols for sharing platforms and feedback policies with staff

TOPIC Complaint and Grievance Management
PRINCIPLE
<p>Complaint management is needed</p> <ul style="list-style-type: none">▪ at client request▪ for cases identified during internal checks and controls▪ at the request of account manager.▪ at the request of H.R. /corporate customer <p>EAP providers should investigate the nature of the complaints and make the necessary corrections/amendments in order to assure the necessary quality of their services.</p> <p>Complaint procedures should at all times remain thoughtful of principles of confidentiality with regard to i.e. client, counsellor, corporate customer.</p> <p>Any EAP should not feel threatened by a complain but view it as a way to grow and offer better services to companies and clients.</p>
STANDARD
<p>A clear definition of "complaint" should be described which may be considered to be different from a "negative feedback".</p> <p>EAP companies should develop known and written procedures to handle complaints and grievances, to identify the nature of the complaints, address the issues and propose ways to offer solutions to the complaints when reasonable and possible.</p> <p>The EAP will establish a clear process for clients and organizations to These procedures will be made available to both corporate customers and clients and the right channels to place a complaint should be made available and known by both.</p> <p>deliver their complaints and grievances.</p> <p>EAP users should be notified as soon as they access the EAP programs of a way to freely and confidentially express their complaints and grievances should they have any</p> <p>The EAP provider should identify a contact point and a clear statement about appropriate ways of communication (written, oral, etc.) to receive a "complaint".</p> <p>The procedure of complaint follow up should be defined and communicated to each stakeholder. The procedure should include but not be limited to:</p>

- The definition of the appropriate investigator regarding the case
- Time scale for the investigation
- The timetable and the clear definition of regular feedback will be made to complainant
- Definition written record format about each complaint and retaining period of the record
- Definition of resolving of disputes following investigation

The corporate customer can expect that their EAP provider will provide accountability for operating to the highest standards of service delivery and this includes the resolution of any complaints and grievances in an effective and rapid manner.

Solutions should be implemented when possible after a complaint is filed and both clients and corporations have a right to know the measures that have been taken as a result.

Such reporting will continue to honour principles of client confidentiality.

The EAP company should audit complaints and grievances periodically

EVIDENCE

The EAP will have written complaint management policies. (including communication strategies and protocols)

The EAP will be able to provide statistics of received complaints and its results

Complaints should always be documented. The documentation should include the nature of the problem, the result of the investigation on the nature of the problem and the proposed solutions to the problems and grievances identified.

STAFF RECRUITMENT AND MANAGEMENT

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TOPIC
<p>STAFF RECRUITMENT AND MANAGEMENT * Includes ALL salaried, contracted, part time and full time staff and service providers</p>
DEFINITION & PURPOSE
<p>Staffing refers to recruitment, employment and contracting, of qualified individuals in order to meet the workload and performance standards of EAP administration and service delivery. Staff management refers to the on- boarding, training, and management of EAP staff, to ensure reasonable workload and ability to deliver quality EAP.</p>
PRINCIPLE
<p>Corporate customers and user clients are entitled to timely, efficient, quality service on all levels, delivered by appropriately qualified individuals. Staff may expect a reasonable workload allowing them to fulfill their responsibilities in accordance with best practise and stated quality standards.</p>

STANDARD:

Recruitment and Contracting

In order to fulfill EAP workplace positions, staff will be recruited/contracted

- in accordance with local legal requirements for the identified position
- in accordance with local qualifications and accreditations required for the identified position
- for appropriate knowledge, skills and attitude required to deliver quality service and performance standards within their role and accountabilities.
- in accordance with workplace and service demands.

EVIDENCE

The EAP will have an up to date documented organizational chart reflecting roles and responsibilities within the organization.

The EAP will have documented job descriptions and position requirements and standards.

The EAP will have clearly described protocols for recruitment in accordance with job descriptions and requirements.

The EAP will have documented protocols for regular review of service demands and EAP ability to meet demands in accordance with service standards and reasonable employee workload.

STANDARD:

On –boarding

On Boarding protocols will be applied to all staff – regardless of their status as salaried, contracted, part time or full time.

All EAP staff will be provided with appropriate on-boarding training as it relates to their role and accountabilities within the EAP.

This may include on-boarding training regarding:

- Terms of employment/mutual contractual obligations
- EAP
- Client and corporate customer performance standards and relations
- Confidentiality guidelines and protocols
- Quality Assurance guidelines and protocols
- Documentation standards
- Relevant job skills and protocols Including but not limited to:
 - client contact scripts (i.e. intake script, program parameters and confidentiality script, complaint protocol script)
 - risk and urgency assessment
 - crisis response protocols
 - supervisory protocols
- When appropriate to the responsibilities of the new hire, on-boarding may be concluded with the administration of a readiness test, prior to allowing the individual exposure to clients or customers.

EVIDENCE

The EAP shall have documented outlines of on-boarding protocols for each position within it's organization.

New hire participation in on boarding training will be documented.

In the event of a readiness test the EAP will have documented testing procedures and scoring.

New hire participation, results and where needed, action items will be documented.

STANDARD:
Supervision

Staff should receive regularly scheduled supervisory meetings with appropriately qualified manager or supervisor.
Staff should also have access to unscheduled supervisory support in order to receive guidance and debriefing support when needed.
The supervisor will also review positive and negative feedback or evaluations received.

EVIDENCE

Scheduled and unscheduled supervisory meetings are documented.
When appropriate or needed, supervisor will maintain notes of conversation or action items.
Staff are provided with clearly described and documented contact information and pathways to access unscheduled supervisory support when needed.

STANDARD: Safety
<p>EAP staff are entitled to the assumption of safety and freedom from discrimination or harassment in their work with clients and in the workplace.</p> <p>EAP premises should provide a safe work environment for staff. Offices and work space should be reviewed for safety risks at least annually.</p> <p>The EAP should have signals and protocols and response in place for staff protection and prevention from risk of harm by clients.</p> <p>The EAP should have protocols in place for handling verbally and/or physically abusive clients who present a risk to it's staff.</p> <p>Expressed concerns for personal safety or harassment are not held against the complainant.</p>
EVIDENCE
<p>The EAP has documented safety standards and protocols for staff protection, from clients and workplace relations.</p> <p>The EAP has documented protocols for confidential reporting and fair investigation of threat of harm or exposure to harm for staff.</p> <p>Reports and investigations are documented.</p> <p>The EAP has documented protocols and reporting procedures for dealing with clients who present a risk of harm to EAP staff.</p>
STANDARD: Liability and Conflict of Interest
<p>The EAP will ensure assume accountability and liability for the actions of it's staff as it relates to the quality and ethical management of client and customer relations and services.</p> <p>The EAP will ensure that individual staff will have their own appropriate professional liability where available.</p> <p>The EAP will ensure that staff will not be in position of conflict of interest in relationship to individual clients or corporate customers.</p>
EVIDENCE
<p>The EAP will have documented guidelines with regard to liability requirements and ethical code of conduct for it's staff.</p> <p>The EAP will have documented protocols for response to liability concerns and concerns with regard to conflict of interest and/or ethical conduct of staff.</p>

Third Party Relations

TOPIC
Legal and regulatory environment re business and EAP services
DEFINITION & PURPOSE
The EAP is a member of the legal community and the EAP community in which it operates. It is accountable to its staff, customers and user clients to ensure compliance with all relevant legal and regulatory guidelines.
PRINCIPLE
The EAP will be knowledgeable of and comply with the legal and regulatory environment, in which it operates, as well with the regulatory environment of its professional organizations.
STANDARD
The EAP will ensure that all staff and affiliates are compliant with relevant legislation and EAP standards. The EAP will ensure that staff is knowledgeable of legislation relevant to the execution of their duties. The EAP will maintain up to date knowledge of it's legislative and regulatory environment, and will adapt communication and protocols in a timely manner to reflect changes in legislation or professional standards.
EVIDENCE
The EAP will have documentation of in-house protocols that demonstrate compliance with relevant local legislation and industry standards. The EAP will have up to date documentation of data required under local legislation.

<p style="text-align: center;">TOPIC Third Party Relations</p>
<p style="text-align: center;">Outsourced service vendors and subcontractors</p>
<p style="text-align: center;">DEFINITION & PURPOSE</p>
<p>EAP services for corporations and individual clients may include services outside of the core technology of psycho social support and may involve services that are outside of the core expertise and deliverables of the EAP.</p> <p>Vendors and subcontractors refers to organizations or specialized individuals who are contracted to the EAP to provide specialized services complementing the EAP services delivered by the EAP and included in EAP scope of work for customers.</p>
<p style="text-align: center;">PRINCIPLE</p>
<p>Corporate customers and users are entitled to quality services that are delivered with clear accountability for meeting legal requirements , ethical and professional guidelines.</p> <p>EAP's who subcontract services to third parties must assume accountability for quality service and ethical behaviour by the subcontractor or vendor they have selected to provide services on their behalf and who will be indirect contact with corporate customer representatives and/or user clients.</p>
<p style="text-align: center;">STANDARD Due Diligence & Contracting</p>
<p>EAP's entering into a vendor/ subcontractor relationship must conduct due diligence in selection of such a vendor.</p> <p>In order to achieve due diligence the EAP will conduct a through review and investigation of the vendor /subcontractor candidate which include but is not limited to:</p> <ul style="list-style-type: none">Standards of operationConfidentiality protocols and accountabilityRelevant professional qualifications and accreditationsFinancial stabilityLegal statusQuality assurance protocolsAccountability to the EAPConflict of interest
<p style="text-align: center;">EVIDENCE</p>

The EAP will have clear documented criteria for contracting with vendors/subcontractors.
The EAP will have clear documentation of the due diligence investigation with the vendor/subcontractor.
The EAP will have clear contractual agreement between the EAP and the vendor/subcontractor outlining mutual accountabilities.

STANDARD

Scope of Work

In collaboration with a vendor or subcontractor, the EAP will have a clearly outlined scope of work and services expected from the vendor/subcontractor. In turn the corporate customer and/or individual client may expect appropriate scope of work and quality of service from the vendor/subcontractor.
The scope of work will include direct customer services as well as administration, reporting and quality assurance activities.

EVIDENCE

The EAP will have clear documented responsibilities, accountabilities and quality metrics reflecting outsourced activities.
The EAP will have documented results of audits and reviews of vendor services, as per the quality assurance protocols and standards.

STANDARD

Quality Assurance

Vendor services will be subject to the EAP quality assurance protocols (including collection of user feedback, review and audits as necessary, remedial actions and follow up as indicated)
Vendor services should be subject to regular monitoring for quality of service.

EVIDENCE

The EAP will have documented results of audits and reviews of vendor services as per the quality assurance protocols and standards.

STANDARD

Liability and Conflict of Interest

The EAP will ensure that vendors who provide services on behalf of the EAP do not have material or ethical conflict of interest in providing these services for the EAP.

The EAP will review possible situations of conflict of interest prior to engaging in a vendor relationship.

The EAP will monitor possible conflict of interest situations that arise during the collaboration with the vendor.

The EAP will ensure that partners are accountable and liable for services rendered.

The EAP will assume liability and accountability for it's choice of vendors.

EVIDENCE

The EAP will have a documented and clear definition of conflict of interest with regard to the vendor.

The EAP will have documented protocols and policies for the prevention and resolution of conflict of interest situations.

The EAP will have documentation of review and outcomes of identified situations of conflict of interest.

The EAP will have documentation from the vendor liability and accountability

The EAP will have assume it's accountability and liability for vendor selection and

Referral in relations to users and corporate customers.