

McLaughlin Young Group



Employee Assistance Program Training Manual For HR/Management

800.633.3353

mygroup.com

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Section 1: Welcome to Your Employee Assistance Program

Who Is McLaughlin Young?

McLaughlin Young Group is a full-service human capital consulting firm founded as an EAP 30 years ago. Since 1987, we have developed and provided a holistic range of services to a wide range of clients, including Fortune 500s, small businesses, and public sector entities. Through our network of over 40,000 clinicians and consultants spanning 200 countries, we deliver a realistic, practical, proven approach to improving three key metrics: retention, growth, and productivity.

What Is An Employee Assistance Program?

The Employee Assistance Program is a company-sponsored benefit offering confidential counseling support and connection to resources for a variety of topics. Through the EAP, employees can find help and guidance. Since privacy is protected under laws that govern confidentiality, no one at your company will know that an employee or his/her family member have called or seen a clinician. Assistance is available 24 hours a day in case of an emergency.

Some of the most common reasons people seek assistance through the EAP include:

- Marital difficulties
- Family problems
- Parenting
- Stress
- Balancing work and family
- Relationship issues
- Work-related concerns
- Depression
- Alcohol and drug use/abuse
- Grief and loss
- Elder care
- Healthy living
- Crisis events
- Preventative

Section 2: What an EAP Offers

EAP for Employees

When these difficulties go unresolved, they can seriously affect the employee's family, work, health and well-being. Through the EAP, employees and their household family members have a central place to address all of these concerns. An EAP is designed to assist the employee in identifying and resolving personal concerns that may affect job performance.

Your EAP provides professional counseling services that are confidential, safe, consistent and reliable. Our specialty is providing creative solutions while working with individuals, couples and families. We are committed to treating everyone with respect and compassion as we work to improve productivity in the workplace and personal effectiveness at home.

EAP for HR/Management

Our EAP clinicians have years of experience in helping all types of organizations run effectively. EAPs help you be a better manager or supervisor by providing you with a constructive way to help employees. When personal problems or behavioral/medical problems interfere with job performance, the EAP will reduce the adverse economic impact to the company. EAPs benefit the entire organization since they do the following:

- Help retain employees and reduce turnover.
- Reduce risk of lawsuits.
- Help supervisors remain focused on performance.
- Assist supervisors in troubleshooting difficult employee management situations through management consultations.
- Identify opportunities for training and coaching by assessing the workplace culture and level of employee engagement.

When problems go unresolved, they create both measurable and hidden losses for a company, such as:

Measurable Losses:

- Absenteeism
- Decreased productivity
- Tardiness
- Sick leave abuse
- Insurance claims
- Disability
- Company waste
- Damage and loss

Hidden Losses:

- Diverted supervisory time
- Friction among coworkers
- Poor decisions
- Damage to company public image
- Declining motivation
- Increased risk of liability
- Stress
- Lowered employee morale

Support the Use of the EAP

EAP clinicians are equipped to assist HR/Management toward effective problem resolution. This process allows you to remove yourself from the stress and uncomfortable position of knowing too much about employees' personal lives. Instead, you can continue to devote your energy to leading and managing in the most effective manner.

Section 3: How the EAP Works

EAP Consultation

Help is available 24 hours a day, 7 days a week, and 365 days a year through McLaughlin Young's toll-free 1-800 number. All callers immediately hear a live voice when they call. At no time are our phones answered by automation (i.e. voicemail). Our clients experience the same level of service after hours and on weekends. We are equipped to handle calls in more than 140 languages.

McLaughlin Young provides confidential and professional EAP services for employees and family members who may be experiencing personal, medical, or work related concerns. Problems addressed by the EAP include but are not limited to: emotional, family, marital, alcohol, drug, financial, legal and other personal issues. EAP services include providing information, assessment, short-term problem resolution, and crisis intervention.

Self-Referral vs. Formal Management Referral

Essentially, there are two ways that a person may enter the EAP – self-referral or formal management referral.

Self- Referral: The employee or his/her family member will access the EAP on their own. When an employee or family member calls the EAP to access services, the services are completely confidential.

Formal Management Referral: The employee agrees to participate in the EAP after being formally referred by his/her supervisor based on job performance problems. The formal referral process includes paperwork that allows the EAP to communicate with the employee’s HR department or manager regarding participation and summary of treatment. Please see more about the formal management referral process in Section 5.

Section 4: The Counseling Process

When an employee calls the EAP, he or she will speak confidentially with a clinician who can assist with the specific problem the employee is facing. This process is outlined below.



Needs Assessment: Starts with a phone call. The EAP will collect basic information from the employee or his/her family member; name, address, presenting issue, etc. We will discuss the situation and determine who may be involved in the face-to-face counseling, previous treatment history, discussion of EAP services, and possible levels of treatment.

Treatment Plan Development: Based off the initial needs assessment, the employee or family member will be referred for an in-person assessment with a licensed clinician. The EAP clinician will match the employee or family member with a clinician experienced in treating issues that match those disclosed in the initial phone call. For a thorough assessment, it may take a couple of sessions (1 -2).

Brief Therapy or Referral to More Appropriate Care: After the initial session(s), a plan of action is developed. The clinician will use his/her expertise and treatment planning skills to determine the most effective resolution to the problem. In many cases brief, solution-focused counseling can resolve or significantly improve the problem. Occasionally, longer-term support may be necessary. For example, if a couple comes in for “communication” issues, it may be determined after the first few sessions, the biggest reason for their “communication” issues is an underlying substance abuse problem. If long-term or specialized treatment is determined to be the most effective way to resolve the issue, the employee or family member will be transitioned from the EAP to the appropriate referral.

Section 5: HR/Management Consultation Services

When seeking advice on managing problematic employees, constructively confronting employees, or referring troubled employees, HR, managers, and supervisors have unlimited access to our trained workplace professionals. Our clinicians assist in developing action plans and coaching the managers toward successful interventions, thus relieving them of anxiety and reluctance to confront a problematic employee. Simply call the EAP to seek advice for:

- Consultation regarding employee issues that are a concern to you.
- Guidance and direction regarding planning a meeting with an employee to address workplace concerns.
- Suggestions on ways to promote the use of the EAP with an employee.
- Consultation on any threat of violence in the workplace.

Life Threatening Situations

Immediately contact the EAP for any of the following life-threatening situations:

- Threats of suicide
- Threats of violence
- Victim of felonious assault
- Unfit for duty because of alcohol or other drugs

Consultations Regarding Formal Management Referrals

Formal management referrals are used when the employee fails to meet performance standards and when disciplinary measures are being contemplated. They must be based on documented absenteeism, unacceptable job performance, dysfunctional behavior or serious violations of company policies.

If you are considering using the EAP to address a performance issue, it may be helpful to contact the EAP for a confidential consultation. The consultation will include questions that will help outline the description of the problem as well as the history of the problem. The clinician will also inquire as to whether there is documentation of the problem and if human resources has been involved. With this information, your EAP clinician can help you determine the appropriate next steps.

Section 6: Guidelines for Making a Formal Management Referral

Consult with HR before making the formal management referral. Many companies have established policies so that all formal referrals will be managed directly by the HR department. If HR is not going to handle the formal referral directly, contact McLaughlin Young EAP at 800.633.3353 or 704.529.1428 to make the formal referral. Formal referrals involve (1) Observation (2) Documentation (3) Corrective Interview (4) Making the Referral (5) Follow-Up.



1. Observation

Observation is important prior to constructing documentation. Observing performance means being alert to the decline of, or, undesirable changes in your employee's performance.

- The essential duties, functions and behavioral expectations of one's position are the legitimate concern of the employer and are typically evaluated. These include: quality of work, attendance and tardiness, conduct and appearance, attitude and demeanor and availability to perform one's duties.
- It is acceptable to ask an employee what is causing a performance problem. This is not acting like an armchair diagnostician. However, it is important not to discuss the personal problem if one is disclosed.
- If you know your employee well, it is tempting to analyze behavior and involve yourself in his or her personal problems. This is a form of enabling, and it reduces the likelihood that your employee will use the EAP.

2. Documentation

Documentation should contain all the significant elements surrounding an exceptional incident of employee behavior. Try to record the following in specific, behavioral, non-judgmental terms.

- Expectations: What the employee is required to do
- Acceptable and unacceptable performance
- Be objective by recording observations and not impressions
- Who, what, where, when, how of unsatisfactory work performance

Recommended example: "April 5th – Employee was 50 minutes late for work. Smell of alcohol on breath was noticed."

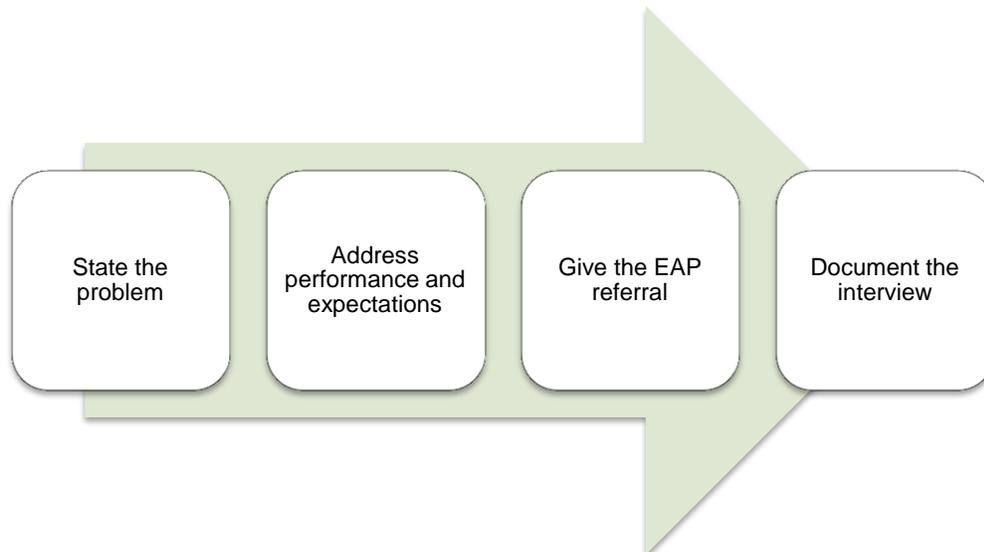
Not recommended example: "Monday, employee came to work really late again and drunk."

3. Corrective Interview

Ideally, meeting with your employee and discussing performance problems leads to self-correction. However, when a chronic personal problem contributes to performance problems, it is more likely that self-correction will last only a few days or weeks.

Prepare yourself for the interview: Before talking with an employee about job performance, consider conferring with HR and evaluate your feelings about the employee or his or her performance. Experience indicates that one's feelings greatly dictate what action is taken. An EAP clinician can help you deal with your feelings and help you prepare to talk to the employee. Likewise, it is important to be prepared for "diversions" a troubled employee may consciously or unconsciously use when confronted. These may include sympathy, tears, excuses, diversions, innocence, anger, or pity.

Steps for a Constructive Corrective Interview



1. State the problem. Explain to the employee what behavior has been unacceptable. Listen with concern to the employee's explanation.
2. Focus on the employee's job performance. Show documentation and stick to the performance issues. Clearly state the expectations you have for the employee. What must he/she do to show improvement. Set a deadline for performance goals and schedule a follow-up meeting. It should be clear that failure to improve might result in termination.
3. Give the employee the formal referral to the EAP. Tell the employee about the program and how to use it. If he or she does not accept the referral, document that the offer was made and refused.
4. Document the interview including the time limit set and expectations for improvement.

4. Making the EAP Referral

Consult with HR before making the formal referral. Many companies have established policies so that all formal referrals will be managed directly by the HR department. Even if this is not the case with your organization, your HR may provide you with the appropriate paperwork and will ensure that your documentation, referral and follow-up with the employee are compliant (See Appendix A). The paperwork is also available at mygroup.com in the manager section of the web site. Your log-in is mygroup and your password is manager1987. If HR is not going to handle the formal referral directly, contact McLaughlin Young EAP at 800.633.3353 or 704.529.1428 to make the formal referral.

5. Follow-Up

Monitoring your employee after making a referral to the EAP reinforces progress in improving performance. It also helps your employee remain motivated to participate in treatment or counseling recommended by the EAP.

Consider the following steps in monitoring your employee's progress after making a referral to the EAP:

- Decide upon a date and time to meet and discuss progress in improving performance. Deciding upon several dates and times in the future will provide a constructive sense of urgency for your employee to follow through with a treatment plan, the EAP's recommendations or other actions recommended to resolve or manage a personal problem.
- Expect the EAP to call you if your employee misses follow-up appointments or stops following through with the EAP's recommendations. Missing appointments and failing to follow treatment recommendations usually precedes a return to job performance problems.
- If performance problems return, notify the EAP.
- Praise your employee for improving performance yet be mindful of any return to performance problems.

Section 7: Specialized Formal Management Referrals

Employers never look forward to dealing with difficult situations in the workplace, but knowing the EAP is a resource to provide support and guidance can ease their discomfort. McLaughlin Young provides a variety of resources that can help companies respond to safety concerns. One of the most crucial roles of the EAP is in helping employers sort the behavioral issues that an employee is exhibiting. We can also help the employer identify what kind of response is needed.

Fitness for Duty Evaluations

A psychological Fitness for Duty Evaluation (FFD) is a formal, specialized examination of an employee that results from (1) objective evidence that the employee may be unable to safely or effectively perform a defined job and (2) a reasonable basis for believing that the cause may be attributable to a psychological condition or impairment. The central purpose of an FFD is to determine whether the employee is able to safely and effectively perform his or her essential job functions. The doctor who is selected should have training in forensic (legal) psychology or psychiatry. Forensically experienced doctors conduct their evaluations with considerable attention to documentation, perform objective psychological testing, and are specially trained to detect dishonesty. They also write their reports in a manner designed to withstand scrutiny by courts and regulators.

The FFD itself is outside the scope of covered EAP services and cannot be provided by EAP counselors. In response to your FFD needs, your EAP clinician will assist you in identifying appropriate resources for obtaining the FFD.

The EAP's role in the FFD process is one of consultation and coaching, with resource assistance provided upon request. Your EAP consultant can provide guidance and information about the appropriateness of an FFD and how to obtain an FFD.

Substance Abuse Screenings

McLaughlin Young is experienced at screening for substance abuse during the initial assessment. If there is prior suspicion of substance abuse, HR or management benefit from making a formal management referral which ensures they are made aware of compliance as well as treatment status and recommendations.

In the event of a positive drug screen, we also offer, for an additional (discounted) fee, services by Substance Abuse Professionals who meet the DOT credentialing criteria requirements for SAPs in the Return to Duty process for DOT-covered employees.

Section 8: Critical Incidents in the Workplace

A critical incident is an unexpected event or situation that causes distress in the workplace. This may include an employee death, downsizing, or other situation requiring action on behalf of management to show support to your employees.

Your EAP provides you with the C.A.A.R.E.S. method of determining the best process for handling an incident at your place of work. It is not always necessary or best to request an on-site response. By following the C.A.A.R.E.S. method, you along with your EAP clinician can determine the best course of action in responding to a critical incident. (See Appendix B).

- **C: Consult.** Gather information about what happened, how, and who all was involved. Who else needs to know this information and what will be shared with your staff. At this point, what support do *you* need?
- **A: Assess.** This is the time for empathic rounding. Check in with each employee. Do they need assistance now? What are your observed reactions? Who are you most concerned about?
- **A: Act.** Call the EAP. What can your organization do? (Close the office, send employees home, or provide additional coverage).
- **R: Respond.** Your EAP will provide a customized response for you and your employees. Introduce what your EAP can do for your employees.
- **E: Evaluate.** Check in with your employees after the CISD response. Evaluate what worked and what didn't.
- **S: Support.** Be aware of individual responses (gradual recovery, delayed responses). Show kindness and listen. Remind employees of their individual, confidential EAP sessions.

Section 9: Training and Development

Since 1987, McLaughlin Young has worked with individuals, management, and organizations to address the issues affecting the health and productivity of the workforce. This has included providing training and development programs to increase employee effectiveness and productivity. To discuss how these services can improve your organization, please contact your account manager.

McLaughlin Young training and development programs can be facilitated onsite throughout the U.S. We also have select topics available to our international clients. Programs range from one to two hours in length to half-day and



multi-day seminars. We will work with you to adapt to your schedule, which may mean opting for a webinar. Our facilitators have at least a Master's degree and five years of experience regarding the subject matter. Our quality assurance process ensures that all training and development programs meet the standards of McLaughlin Young.

Education and Training

EAP Core Training: McLaughlin Young offers relevant, topical overviews based on some of the most prevalent issues addressed by the EAP. Programs are one-hour in length and appropriate for a "lunch and learn" setting.

Compliance Training: Addressing workplace issues, such as harassment, diversity, and substance abuse, our Compliance Training programs are designed for both employees and managers.

Online Training: As part of our EAP and Work-Life Services, McLaughlin Young offers 17 online training programs that are available 24/7 via our web site and include certificates of completion.

Learning and Development

Employee Development: McLaughlin Young has been developing employees for 30 years to ensure they have the interpersonal skills needed to be effective and productive. Our learning and development programs are designed to be interactive to engage employees and equip learners with practical tools and models they can use on the job.

Manager Development: McLaughlin Young has found that managers are typically equipped with the industry knowledge and expertise to lead the team. Where they often need development are the interpersonal skills associated with managing people. We develop managers to be more effective in their current roles and prepare them for new, future roles.

Team Performance: McLaughlin Young excels at facilitating change initiatives critical to improving organizational performance because of our proprietary models and constructs. Many of our learning and development programs for executive leadership and teams integrate our models, as well as the books and corresponding workbooks, by our Founder R. John Young, Ph.D. Our approach develops high performing teams through our proven models which address the trust, stress, and change factors impacting team dynamics

EAP Contact Information

Headquarters: McLaughlin Young Group
5925 Carnegie Blvd Suite 350
Charlotte, NC 28209

Telephone: 704.529.1428
800.633.3353

Web Site: mygroup.com

Appendices

Appendix A
Formal Referral Bundle

Formal Referral Form

For Mandatory Referrals to the Employee Assistance Program

Note to the Supervisor: If this is your first time to make a mandatory referral to the Employee Assistance Program, please refer to the tab "**Formal Referral**," found on our EAP Website, www.mygroup.com. If you cannot currently access our website, call **704-529-1428** (or 800-633-3353) and ask to speak to the Formal Referral Clinician. Thank you.

Supervisor and Employee Information

Please print

Employee's Name: _____ Referral Date: _____

Employer: _____

Department (if applicable): _____ Employee's Phone: _____

Referring Supervisor's Name: _____ Title: _____

Supervisor's Phone (work /cell): _____ Confidential Voice Mail? Yes No

Supervisor's E-Mail (optional): _____

Reason for Referral

Please indicate the reason(s) for this referral (check all boxes that apply).

Job Performance Problems

- Lower quality of work
- Decreased productivity
- Increased errors
- Erratic work patterns
- Failure to meet schedules

Attendance

- Excessive tardiness
Days late in past month: _____
- Excessive absence
Days absent past 3 months: _____
- Other _____

Substance Abuse Problems

- Failed random **drug or alcohol** test. (Please circle which one.)
Is the employee in a safety sensitive position? Yes No
- Post-accident failed drug or alcohol test
- Under the influence at work
- CDL holder/DOT violation
- Meets criteria for "reasonable suspicion" (see EAP website for criteria)

Behavioral Concerns

- Avoids supervisor/coworkers
- Less communicative
- Unusually sensitive to feedback
- Unusually critical of others
- Conflict with co-workers
- Disregard for safety
- Frequent mood swings (high or low)
- Loss of interest
- Impaired judgement/memory
- Inability to concentrate

Violence Issues

- Threatened/intimidated others at work (*may require Threat Assessment Meeting*)
- Domestic violence
- Harassment

Please attach additional comments and/or supporting documentation for any of the above concerns.

Supervisor Performance Goals

1. Have the issues marked on this form been discussed with the employee? Yes No
2. What are the consequences if employee performance does not improve?
3. Have the consequences for not improving been discussed with the employee? Yes No
4. How will the employee's improvement be measured? (*Please be specific.*)
5. How long will the employee be given to make the desired changes?

Employee Signature

I understand that my supervisor is referring me to the Employee Assistance Program and my signature verifies that I have seen this form. My signature below does not signify my agreement or disagreement with any of the issues raised.

- Yes, I **will** participate in and cooperate with the Employee Assistance Program.
- No, I **will not** participate in the Employee Assistance Program.

Signature of employee

Date

Please forward this form by fax to:

John Trombello, LPC, EAP Formal Referral Clinician or Faith Drew, Ph.D, EAP Director McLaughlin Young Group
5925 Carnegie Boulevard, Suite 350, Charlotte, NC 28209
Phone: 704.529.1428 or 1.800.633.3353
Fax: 704.529.5917



Authorization for Release of Client Records

Client Name: _____ Date of Birth: _____

I request and authorize McLaughlin Young Group (MYG) to:

- Release the following information to: _____ Receive the following information from: _____

Name of Facility/Person: _____

Address: _____ Phone: _____

Release is for the Purpose of:

- Continued care by the other provider
- Attorney
- Disability
- Supervisor Referral
- Personal Review
- Other (specify): _____

Information to be Disclosed If Requested:

- Service dates
- Session constellation
- Session participants
- Clinical assessments
- Summary of treatment
- Other (specify): _____

I understand that the information I am authorizing to be released may include mental health information and any therapy constellation (individual, couple, family, group) in which I have participated.

<p>I further understand that this Authorization is voluntary and I may refuse to sign this Authorization. I further understand that my treatment will not be affected if I do not sign this form (45 C.F.R. 164.508 (c)(2)).</p> <p>I further understand that I may revoke this Authorization at any time by notifying McLaughlin Young Group (or the releasing facility) in writing by certified mail, return receipt requested to the CEO of MYG, except to the extent that action has been taken in reliance on it. Any such revocation shall not be effective until the next business day following receipt of the revocation notice by MYG. Unless earlier revoked, this Authorization expires automatically 1 year from the day signed or 1 year after the last MYG visit (45 C.F.R. 164.508 (c)(2)).</p>	<p>I further understand that if I refuse to authorize the release of information in a situation where the information is needed by the Employer for legal or other reasons of business necessity, it may limit MYG's ability to continue to provide services in which case MYG may make a referral to another health care provider.</p> <p>Any person or other entity who receives information pursuant to this authorization should not re-disclose the information to anyone else.</p> <p>I further understand that the person(s) I am authorizing to use or disclose my information may receive compensation (either directly or indirectly) for doing so.</p>	<p>RELEASE FROM LIABILITY I release and agree to hold harmless MYG (or other releasing facility) and its agents, representatives, and employees from any and all liability associated with the release of confidential client information in accord with this Authorization.</p> <p>I understand that MYG (or the releasing facility) cannot be responsible for use or re-disclosure of information to third parties (45 C.F.R. 164.508 (c)(2)).</p> <p>TO THE RECEIVING PARTY OF THIS INFORMATION: This information has been disclosed to you for the sole purpose(s) stated in this Authorization. Any other use of this information without the express written consent of the client is prohibited. These records may be protected by federal regulation (42 C.F.R. Part 2).</p>
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I certify this form was fully explained to me, I have read it or have had it read to me*, and I understand its contents.

Print Client Name/Legally Authorized Person

Signature

Date

Print Witness/Translator* Name

Signature

Date



Dear Employee:

We hope this letter will answer any questions you may have regarding your Employee Assistance Program (EAP). Please read this letter carefully, keep it for future reference, and call us with any additional questions you may have.

You will need to contact your EAP, McLaughlin Young, at 800-633-3353, and they will:

1. Explain your rights to confidentiality.
2. Ask your permission to inform the person referring you as to your participation and compliance. No other information will be released to anyone.
3. Refer you to a clinician in your area who will meet with you and assess your situation.

The clinician in your area will meet with you more than once to thoroughly assess your situation or progress. These sessions will be confidential, and there will be no cost to you for your EAP visits.

The treatment recommendations the clinician makes must be followed. The recommended plan of action may exceed the services covered by the EAP and could mean some out of pocket expense for you. In many cases, your health insurance will pay for treatment.

Again, call us with any questions or concerns you may have. We are here to assist you.

Sincerely,

McLaughlin Young Group Employee Assistance Program

Appendix B
Quick Guide for Managers

Critical Incident Quick Guide for Managers

Contact List:

HR Director: _____ Contact Number: (O) _____ (C) _____

Direct Supervisor: _____ Contact Number: (O) _____ (C) _____

Other: _____ Contact Number: (O) _____ (C) _____

McLaughlin Young EAP: 1.800.633.3353

Step-by-step guide:

This list will help guide you through the C.A.A.R.E.S. process. As best as you can, collect answers to the questions (Consult and Assess) before calling McLaughlin Young EAP.

C.A.A.R.E.S: Consult

- What happened?
- How did it happen?
- Who was involved?
- How did you learn about this?
- Who else knows?
- How are you going to communicate this to your staff?
- Who needs to know?
- What information needs to be shared?
- What support do *you* need to manage your employees?

C.A.A.R.E.S: Assess

- Empathic Rounding - Personally check-in with *each* employee. "How are *you* feeling? What do *you* need?"
 - Determine employee involvement.
 - Do your employees need assistance now?
 - What are the reported reactions?
 - What are the observed reactions?
 - Which employees are you most concerned about?

C.A.A.R.E.S: Act

- Call McLaughlin Young EAP
- What can your organization do? See *examples* below.
 - Send employees home.
 - Close the office.
 - Provide additional coverage, change shifts.
 - Provide reassurance (e.g., safety).



C.A.A.R.E.S: Respond

- The EAP will provide customized response for you and your employees.
- Introduce what EAP can do for your employees.

C.A.A.R.E.S: Evaluate

- Check-in with your employees after the CISD response.
- Evaluate what worked, what didn't.

C.A.A.R.E.S: Support

- Be aware of individual responses
 - Gradual recovery
 - Improved adjustment
 - Delayed response
- Show kindness
- Listen
- Educate ongoing support options (e.g., EAP confidential one-on-one sessions)