



Supervisors and Managers Handbook

Promoting a Safe and Productive Workplace



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What an Employee Assistance Program Offers

The Employee Assistance Program (EAP) serves the organization in a variety of ways. For the employee, the EAP provides help for personal issues that may have an impact on their lives and/or jobs. For the supervisor or manager, the EAP provides consultative support and serves as a management tool to help maintain optimum workplace performance. Finally, the organization as a whole may participate in workshops, training programs, consultation and work/life services.

According to Employee Assistance Professionals Association (EAPA), EAPs reduce absenteeism, lost time, errors, dissatisfied customers, accidents and medical claims. They improve production, morale, employee retention, and public image. EAPs save money on salary and fringe benefits recruiting and training costs (EAPA Online). EAPA's research shows that up to 68% of all workers will at some time experience problems severe enough to prevent them from coping with day-to-day work responsibilities. (EAPA Online)

Ultimately, the EAP will help the organization maintain a workforce that performs at optimal levels.

Services Provided By The EAP

Services for Employees

In addition to providing services to help employees manage their day-to-day lives, the EAP provides problem identification, counseling and referral for employees and their family members. Counselors are trained to provide support and guidance for a broad range of needs including but not limited to:

- Family and Relationship issues
- Grief and Loss
- Depression/Anxiety
- Drug and alcohol abuse
- Parenting issues
- Work/Life balance
- Other personal concerns

Services for Management

As a supervisor or manager, you want to make sure you have the most productive and effective work environment possible. However, events in the workplace such as an unexpected coworker death, corporate restructuring or downsizing may impact the entire team affecting productivity and the work environment.

The EAP can help with group issues as well as individual performance issues.

The following are some things you can do before you contact the EAP for consultation:

Look for trends. You might notice an employee is consistently late for work. Over time you become aware that several employees have this problem. Your EAP can help you sort through reasons for those trends.

Do an environmental scan. Listen to what employees are saying and not saying----about the organization and about each other. Recognize the signs of low morale and the need for team building. Your EAP can counsel you on ways to deal with many group dynamics.

Education/Training/Interactive Web Tools

Alternatives EAP provides an interactive website that contains over 400 educational videos and over 5000 Harvard medical school reviewed mental health articles. Employees can use problem solving tools and interactive personal development programs and take self-assessment tests and quizzes. The EAP provides monthly wellness tele-classes as well as onsite educational opportunities. Topics include: Achieving a Healthy Weight, Design Your Personal Fitness Program, Living a Strengths Based Life, The Power of Gratitude.

Monthly E-news articles provide education and tips for dealing with various issues. Here are some of the topics we have done in the past: Improving Your Listening Skills, Stress and Your Health, Eating for a Healthy Heart.

Drugs and Alcohol in the Workplace

The Drug Free Workplace Act of 1988 requires that those organizations covered by the Act provide and maintain a drug-free workplace. Each organization will have its own policy outlining implementation. Check with your Human Resources Department for a copy of the policy.

Nearly 75 percent of all adult illicit drug users are employed, as are most binge and heavy alcohol users. Studies show that when compared with non-substance abusers, substance-abusing employees are more likely to:

- change jobs frequently
- be late to or absent from work
- be less productive employees
- be involved in a workplace accident
- file a workers' compensation claim

Drug abuse costs the United States economy hundreds of billions of dollars in increased health care costs, crime, and lost productivity.

<i>Estimated Economic Cost to Society Due to Substance Abuse and Addiction:</i>	
Illegal drugs:	\$181 billion/year
Alcohol:	\$185 billion/year
Tobacco:	\$193 billion/year
Total:	\$559 billion/year

Surgeon General's Report, 2004; ONDCP, 2004; Harwood, 2000.

NIDA

The total costs of drug abuse and addiction due to use of tobacco, alcohol and illegal drugs are estimated at \$524 billion a year. Illicit drug use alone accounts for \$181 billion in health care, productivity loss, crime, incarceration and drug enforcement. (**Online National Institute of Drug Abuse Revised July 2008**)

As a supervisor/manager, your responsibility is to:

- Observe and document unsatisfactory job performance.
- Talk to employee about performance.
- Understand the organizations specific alcohol/drug policy.
- Be able to explain the policy to employees.
- Be familiar with the signs of substance and alcohol abuse
 1. Poor attendance
 2. Avoids people and becomes withdrawn
 3. Becomes grandiose, angry or argumentative
 4. Sometimes nervous, irritable and hard to get along with.
 5. Deteriorating appearance in dress and hygiene
 6. Exhibits excessive weight loss/gain
 7. On the job accident rate is above average
 8. Excuses for poor work performance becomes more elaborate and sometimes bizarre
- Know when to take action
 1. Constructive Confrontation (See section on Constructive Confrontation)
 2. Recommend the EAP
 3. Mandated referrals/DOT referrals to the EAP

As a supervisor/manager, you are not responsible for:

- Diagnosing a substance abuse problem.

Preventing Workplace Violence

Employees and management must work together and commit to create a safe work environment free of workplace violence. Recognizing the signs of potential workplace violence and reporting suspicions to the appropriate authorities is everyone's responsibility.

Employee Violence: The Warning Signs of Potential Workplace Violence

Although there is no absolute predictor of who will become violent at work, some behaviors have been associated with workplace violence:

- Use of direct or veiled threats toward self or others
- Use of e-mail to make threats toward self or others
- Intimidating, bullying or other types of aggressive behavior
- Harassment
- Ongoing conflicts with supervisors or co-workers
- Bringing a weapon to the workplace
- Extreme change in behavior
- Explosive outbursts of anger or rage

Also be aware that violence tends to escalate along a specific pattern. What may start out as shouting may lead to more extreme incidents of violence. It's important not to tolerate any form of violence, and to prevent it from advancing to the next level.

Domestic Violence

Homicide is the second leading cause of death on the job for women.

(Bureau of Labor Statistics (BLS) Census of Fatal Occupational Injuries (CFOI).

The costs of intimate partner violence (to the workforce) exceed \$5.8 billion per year.

(Centers for Disease Control and Prevention).

These are frightening statistics. Victims may change their address, telephone number and favorite places to go. However, because the financial benefits of working are more important than ever when leaving an abusive relationship, the workplace may be the one place the abuser can find the victim. Intimate partner violence, therefore, is a major risk factor for potential workplace violence.

By noticing the signs of potential workplace violence and domestic violence, an alert and supportive supervisor can make a difference. Consulting with your EAP will assist the employee to get the right help at the right time. When you help the employee, you also mitigate the risk to your entire workplace.

Accessing EAP Services

Self-Referral – Most employees will access the EAP on their own by calling the EAP directly. You will not be aware that the employee has contacted the EAP and you will not be involved in the counseling process.

You do however, have an important role in the self-referral process. You can help ensure that your staff understands the EAP and how to access services.

Supervisor/Manager Recommendation – As a supervisor/manager you may be asked by an employee for help in solving a problem or you may observe an employee who seems to be experiencing emotional difficulties in the workplace. You will play a key role in helping the employee get immediate assistance for personal concerns by suggesting that he or she use the EAP. Remember to make your recommendations in a private, constructive manner. The EAP can help if you need assistance with how to talk to an employee about utilizing the EAP.

Formal Management Referral (FMR) – An FMR is made when an employee's workplace performance has shown a pattern of decline and has reached a point where he or she can no longer perform their job adequately. Make sure to coordinate with whoever in your company is designated to handle formal management referrals. It may be someone in Human Resources, Employee Relations, or your Risk Management Department.

Identifying Potential Workplace Problems/Performance Issues

Observation - Everyone has an occasional bad day. A few bad days do not necessarily signal a personal or work performance issue. However, changes in work performance that occur over a period of time may indicate that a problem exists. Examples of such changes include:

Work Behavior Changes

- Sporadic work performance
- Lower quality and quantity of work
- Impaired judgement
- Confusion (e.g. difficulty in recalling instructions or details)
- Difficulty concentrating
- Difficulty working with others
- Omitting necessary details
- Procrastination
- Difficulty in meeting deadlines or missing deadlines
- Chronic exhaustion and/or drowsiness
- Lack of interest or participation
- Excessive amount of personal time on the telephone

Absenteeism

- Arriving late or leaving early
- Excessive excused and/or unexcused absences
- Frequent Monday/Friday absences, or absences that follow a pattern
- Extended lunches And/or breaks
- Frequent absences from assigned work areas
- Frequent absences for minor illnesses
- Peculiar and improbable excuses for absences
- Repeated requests for time off by telephone without advance notice

Relationships with Others

- Edgy, irritable
- Over-sensitive, over-reactive
- Suspicious
- Intolerant
- Resentful
- Moody
- Withdrawn
- Blaming others
- Increased nervousness
- Avoidance of co-workers

Other Changes

- Non-work related accidents
- Accidents while working
- Deterioration in appearance
- Loss of interest or decrease in activities
- Borrowing money from others

Being aware of these warning signs will help you recognize when a potential problem is developing and enable you to address it immediately.

Documentation – In addition to being aware of and observing the warning signs of a potential problem, it is important to keep a written record of performance concerns. Always check with your Human Resources Department for any specific procedures to follow when documenting poor work performance.

The following are suggestions on how and what to document:

- Provide actual observations, not your opinions
- Be specific regarding the date, time and place of unsatisfactory job performance
- Keep records confidential and update them on a regular basis – daily, weekly, or monthly.
- Focus on performance (not personal problems)

Provide examples of satisfactory and excellent work as well as performance that does not meet expectations

- Provide factual information that shows the employee's job performance over a period of time.
- Be objective, fair and consistent.

Documentation checklist

- Did you record the documentation promptly while the information was still fresh in your memory?
- Have you indicated the date, time and location of the incident(s) documented?
- Did you record the action taken or the behavior exhibited?
- Did you indicate the person(s) or work products involved?
- Have you listed the specific performance standards violated?
- Have you indicated specific rules or regulations violated?

- Did you record the consequences of the action or behavior on the employees overall work performance and/or the effect on the operation of the work group?
- Have you been objective recording observations and not impressions?
- Did you document the employee's reaction to your efforts to improve his or her performance?

See Appendix A for documentation example

Keeping Performance and Personal Problems Separate; Do's and Don'ts

- Do make it clear that you are concerned with job performance.
- Do describe in work terms the necessity for change; outline its effect on employee morale, safety, the reputation of the department, cost of lost productivity and the impact on the work habits of others.
- Do point out that the Employee Assistance Program is an employee benefit and that help is available.
- Do emphasize the confidentiality aspect of the program, and that in no way will the employee's career path be impacted by utilizing the EAP.
- Do take time and ask the individual for feedback.
- Do develop an action plan and make sure that the employee is clear about what is expected.
- Do review performance concerns one at a time.
- Don't diagnose personal problems.
- Don't moralize or trivialize.
- Don't be misled by sympathy-invoking tactics.
- Don't raise issues without documentation.
- Don't use words such as "always" and "never".
- Don't use this opportunity to complain about everything you ever have disliked about this employee.
- Don't discuss the employee's problems with the employee's peers.

Constructive Confrontation

Addressing work performance problems is one of a supervisor/managers most difficult and stressful responsibilities.

Constructive confrontation is one technique that allows you to objectively address performance issues. It gives you the opportunity to combine your discussion of the performance problem with a genuine offer of assistance.

The constructive confrontation meeting follows a sequence of support-confrontation-support. In this context, confrontation is meant to provide constructive, candid feedback on work performance, presented in an objective factual manner. It is not meant to be negative or emotionally charged exchange. The order of the meeting is key to the effectiveness of the technique. The meeting should begin and end with actions that are constructive. The confrontation is carried out during the middle of the meeting.

The success of constructive confrontation depends on thorough preparation. To best prepare for a constructive confrontation meeting you should:

- Select a time and place that will ensure your meeting is private. This discussion should never be held in the presence of or within earshot of others.
- Gather and organize your documentation, so that you have it on hand during the discussion.
- Consult with your Human Resources Department to ensure your meeting is consistent with your organization's specific policies and procedures.
- Be aware of your own expectations. Define acceptable and unacceptable performance.
- Focus on behavior. Do not label or diagnose a personal problem either in your mind or at the meeting.

Constructive confrontation includes the following three components:

- Support – Reinforce the employee's value to the organization
- Confront – Address Work Performance and Expectations.
- Support – Recommend the EAP

These steps outlined on the following pages, illustrate how to conduct a successful constructive confrontation.

Support – Reinforce the Employee's Value

Begin the meeting by showing concern for the employee. You may want to mention one or all of the following:

- You have noticed a change in work performance.
- Your concern today pertains to this change.
- The change is not typical of past work habits.

Acknowledge the employee's past and present good performance. It is important to:

- Let the person know of his or her value to the organization.
- Give examples of past and present contributions (e.g., years of service, past performance, technical skills, previous level of dependability)
- Tell the employee that you appreciate these contributions.

Confront – Address Work Performance and Expectations

The key part of the meeting is to remain calm and objective

Identify expectations:

- Define specific expectations of the employee based on his or her job description.
- Convey concise detailed information.

Specify performance concerns:

- Point out where performance has slipped compared to past work and behavior. Be honest and firm.
- Give specific, objective examples with dates, times and situations.
- Emphasize the seriousness of the situation.
- Focus on the job, not the individual. Avoid making judgments.
- Keep the discussion focused on work performance, regardless of the employee's response.

Schedule timelines for improvement and a follow-up meeting:

- You and the employee should jointly agree on an action plan based on the employee's input and your guidance.
- Establish a timeline for improvement appropriate to the level of the problem.
- Determine and agree on desired results.
- Set a time, date and place for the next meeting.

Describe consequences.* The employee needs to know that his or her performance problem is a serious situation and what he or she can expect if work expectations are not met. At this point, you should:

- Be specific without threatening.
- Be prepared to follow through if performance does not improve.
- Emphasize that the employee is responsible for resolving the present situation and avoiding future consequences.

**you should consult with your Human Resources Department prior to communicating consequences to the employee to ensure that any job action is consistent with internal policy and procedures.*

Obstacles to Confronting Workplace Problems

- Unwillingness to accept that there is a problem.
- Anger because employee's behavior causes problems for others.
- Feeling that things will get better if left alone.
- Concern for the employee's job security or career.
- Supervisors need to be liked.
- Feeling that everyone should handle his or her own problems.
- Concern that others will perceive you as a poor supervisor.
- Supervisor's embarrassment over previous inaction.
- Lack of faith in the counseling process.
- Concerns about confidentiality.
- Personal relationships that conflict with the supervisor actions.
- Ego involvement – supervisor sees employee's successes and failures as his/her own.

Support – Recommend the EAP

- Reiterate your confidence in the employee and reinforce that your goal is to help him or her become a fully productive employee of your work group once again.
- Remind the employee that you do not need to know if personal problems are affecting his or her work, but that if they are, the EAP can help.
- Provide information about the EAP, emphasizing that it is a confidential resource available free of charge to address any personal problems the employee may be having.
- Refer the employee to the EAP. Offer assistance in making the call if necessary.

Follow Up

Following up after the Constructive Confrontation meeting is as important as preparation before the meeting. Some good guidelines for follow-up are:

- Treat the employee as you would any other employee
- Don't "walk on eggshells". Make work expectations and objectives clear to the employee.
- Continue to monitor the employee's work performance and document improvement or decline.

- Make yourself available to the employee to provide guidance or discuss concerns the employee may have.
- Support and reinforce positive behavior changes.
- Follow through with normal disciplinary procedures if necessary.

In addition, your EAP is always available to answer any questions you may have about work expectations following a constructive confrontation, and to provide consultation on any additional concerns you may have about the situation. We also recommend that you remain in contact with your Human Resources Department about appropriate job action.

Initiating Formal Management Referral

To initiate a formal management referral, call the EAP Clinical Director: (816) 753 8283 x 1. When making the call to initiate a formal management referral, please have the following information:

- Name of employee
- Supervisor and HR contact (phone and email's)
- Description of the problem – Performance issues which may include: quality of work, relationships with co-workers/public, behavior and conduct, absenteeism or other relevant factors
- Stage of disciplinary process – is this first warning, second warning, final written etc.
- History of the problem
 - When the performance issues began
 - Has the issue been discussed with the employee
 - What is the employees attitude towards the referral

See appendix B

Once this information has been obtained we will create a case for the employee. Your employee should then be instructed to call the EAP Call Center 800-466-8282 to start the process for counseling.

Re-integration

Transitioning Employees Back to Work

Returning to work after a treatment episode or extended leave can be a difficult challenge. The supervisor/manager will play a critical role in making the employee's transition back to work a successful one.

- Consider setting up a meeting to discuss return to work transition issues. Employee concerns and identification of any return to work barriers may be addressed in preparation for the return.
- Talk with the employee about any needs for special accommodations or modified duty for things such as outpatient visit, medication schedules, court dates etc.

Transitioning Employees Back to Work Following a Substance Abuse Leave

Treatment is just the first step in a long process of coping with substance abuse. Recovery is a lifelong process. Your EAP can provide:

- Referrals to community resources
- Referrals to caring and knowledgeable counselors/consultants
- Recovery monitoring for formal management referrals. The EAP will make regular contacts with the treatment provider to confirm continued participation in any agreed upon treatment plan.

Critical Incident Stress Debriefing Services (CISD)

Your Role as a Supervisor or Manager

We all hope we will never have to face a traumatic workplace incident. However, as a supervisor/manager, you need to be prepared and informed in order to provide guidance and leadership following a critical workplace incident.

In this section you will learn:

- How to identify a critical incident.
- What are common responses to critical incidents?
- How to request critical incident stress management services.

What is a Critical Incident?

A critical incident in the workplace is a sudden, traumatic event that is overwhelming, emotionally charged and often dangerous. Examples of critical Incidents include:

- Natural disasters
- Robberies
- Assaults or threats of assaults
- Plane crashes
- Bomb threats
- Death or injury on the job
- Sudden, unexpected death of a co-worker

Common Responses to Critical Incidents

Following a traumatic incident, everyone experiences some kind of emotional response. Signs of obvious distress may include some of the following symptoms:

- **Physical** – Sweating, dizzy spells, increased heart rate, elevated blood pressure, rapid breathing.
- **Behavioral** – Appetite changes, decreased personal hygiene, withdrawal from others, prolonged silences, uncontrollable crying spells or other changes in ordinary behavior patterns.
- **Emotional** – Shock, anger, grief, depression, hopelessness, helplessness.
- **Cognitive** – Confused thinking, difficulty making decisions, disorientation.

If employees display any of the above signs, reassure them that their reactions are normal. Encourage them to call the EAP if they would like confidential assistance at any time.

Recovering from a traumatic incident can be a long and difficult process. Each person will deal with emotions at his or her own pace. In the meantime, to help reduce the chances of long-term negative

effects on the workplace, there are several practical coping suggestions you can offer to your employees. Advise them to:

- Expect to be troubled by the experience.
- Talk to supportive family, friends and co-workers about their feelings.
- Practice deep breathing exercises to minimize stress and anxiety.
- Avoid alcohol and caffeine.
- Maintain a healthy diet.
- Get plenty of rest and exercise.
- Take time for leisure activities.
- Call their EAP anytime day or night.

How to Request Critical Incident Stress Debriefing (CISD) Services

- You and/or your HR representative will call the EAP Director of Clinical services at 816-753-8283 x 1 and request that a counselor respond in-person to a critical Incident.
- Once the director has the necessary information, a search will be done immediately to locate a counselor to conduct CISD sessions at the requested time. CISD services are usually conducted 24-48 hours after the incident has occurred.
- As soon as a counselor is assigned, he or she will contact you to make specific arrangements for the visit.

Putting It All Together

As a supervisor, you are able to bring about positive changes at work. By providing preventative health and wellness information and resources, by addressing performance problems proactively and by acting quickly in the event of a workplace crisis, you can maintain a productive and safe work environment.

You do not have to handle tough workplace issues on your own. Call for a confidential consultation anytime you need assistance.

Remember:

- Know the full range of the EAP benefits and promote the EAP to your employees.
- Know the warning signs that signal a potential workplace problem.
- Document in writing what you see, hear and discuss – include the date and time.
- Try the constructive confrontation process.
- Be prepared in case of a critical incident in the workplace.

Specialized Management Referrals

DOT Drug and Alcohol Violations

Alternatives EAP follows the US Department of Transportation Substance Abuse Professional Procedures Guidelines and maintains a network of qualified Substance Abuse Professionals (SAP)

The process includes:

- Face to face assessment
- Testing as needed
- Treatment recommendations

- Documentation of program compliance
- Recommendations for follow-up unannounced drug testing

Alternatives stays involved with SAP cases, providing ongoing contact with the employer and support to the employee.

To start the process, you and/or your Human Resources representative will contact the clinical director: (816) 753- 8283 x 1 and advise that you have a need for a DOT/SAP protocol assessment.

Fitness for Duty Evaluations

A Fitness for Duty (FFD) evaluation is an assessment by a medical doctor or a doctoral level psychologist to determine whether an employee is able to perform assigned work tasks and/or perform those tasks without risk to the safety of themselves or others in the workplace.

The EAP's role in the FFD process is one of consultation and coaching. We can provide guidance and information about the appropriateness of an FFD evaluation and how to obtain an FFD evaluation.

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

Appendix A

DOCUMENTATION EXAMPLE

Performance Job Record

Employee Name: John

Day	Date	Time	Change in Performance
Monday	4/4/yr.	9:30 AM	Absent. Said it was due to “recurring and very painful stomach problem.”
Wednesday	4/6/yr.	9:30 AM	Tardy. 30 minutes.
Friday	4/8/yr.	9:30 AM	Absent. Said it was “recurring stomach problem.”
Tuesday	4/12/yr.	9:45 AM	Tardy. 45 minutes
Wednesday	4/13/yr.	9:15 AM	Absent. Had to go to court.
Monday	4/18/yr.	9:05 AM	Absent. Dentist appointment.
Thursday	4/21/yr.	9:30 AM	Tardy. 30 minutes.
Friday	4/22/yr.	9:40 AM	Tardy. 40 minutes.
Monday	4/25/yr.	11:00 AM	Missed deadline for important project to be completed at time of department meeting.
Tuesday	4/26/yr.	3:00 PM	Complaint from sales representative about John’s rude phone manner.
Friday	4/29/yr.	10:15 AM	Absent. Has the flu.
Monday	5/02/yr.	11:30 AM	Absent. Unexplained.

Appendix B

Supervisor / Manager Referral Performance Worksheet

If work performance or the behavioral conduct of an employee has deteriorated and all the usual forms of dealing with the employee have failed to generate any improvement, it may be time to consider using the EAP to find solutions. You can call any time – but the questions below may help you decide when. Photocopy this sheet as needed.

Employee: _____

Date: _____

A. Have you observed repeated and continued Patterson of performance deterioration in any of the following areas? Check the box for affirmative.

1. Quantity/Quality of work?

- Gradual reduction over a period of time
- Inconsistent/Sporadic
- Carelessness, increased mistakes

2. Job-related Work Knowledge

- Forgetful
- Reduced awareness of what's going on
- Unable to keep current

3. Judgment

- Inconsistent
- Frequent errors on routine matters

4. Initiative

- Unwillingness to change work responsibilities
- Needs constant supervision

5. Resource Utilization

- Overly dependent on others
- Unable to identify appropriate resources

6. Dependability

- Fails to meet schedules
- Makes unreliable/untrue statements

7. Attendance and Punctuality

- Frequent unexpected absences
- Frequent complaints of vague illness
- Frequently leaves early or returns late from lunch
- Frequent unexplained disappearances from job

- 8. **Analytical Ability**
 - Details often neglected
 - Increased number of poor conclusions/decisions

- 9. **Ability to Communicate**
 - Argumentative
 - Less communicative than in the past
 - Unclear/imprecise written communication

- 10. **Interpersonal Skills**
 - Deliberately avoids colleagues and supervisor/manager
 - Complainer
 - Unusually sensitive to advice or criticism
 - Overly critical of others

- 11. **Safety Conscious**
 - Higher than average on the job accidents
 - Takes needless risks
 - Disregards safety of others

- 12. **Other Behavior Problems**
 - Inappropriate personal appearance
 - Loss of interest/enthusiasm for job
 - Extreme mood swings
 - Inappropriate behavior

Regarding the affirmative responses (Items 1-12)

- B. Have you documented the performance or behavior deficiencies in behaviorally specific terms?
 Yes No

- C. Have you communicated your concerns regarding the employee's work performance or behavior to the employee?
 Yes No

- D. Has his/her performance or behavior continued to deteriorate?
 Yes No

- E. Have these items been included in a formal performance review or in a formal disciplinary action?
 Yes No

If the total affirmative responses under section A are excessive in your judgment and the answers to section B, C & D are affirmative, contact your Employee Assistance Program for consultations.