



Illinois Department of Corrections

Administrative Directive

Number: 03.01.400	Title: Employee Assistance Program	Effective: 9/1/2021
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Authorized by:	<i>[Original Authorized Copy on File]</i> Rob Jeffreys Director
Supersedes:	03.01.400 effective 9/1/2020

Authority: 20 ILCS 301/15-5	Related ACA Standards: 5-ACI-1C-24 and 25, 5-ACI-1D-10 and 11
Referenced Policies: 03.01.405	Referenced Forms: DOC 0049 – Employee Assistance Program Activity Report DOC 0050 – Employee Assistance Program Case Report DOC 0051 – Employee Assistance Program Release of Information DOC 0052 – Employee Assistance Program Statement of Understanding

I. POLICY

The Department shall administer a voluntary and confidential employee assistance program for employees and their family members who are experiencing personal or familial difficulties.

II. PROCEDURE

A. Purpose

The purpose of this directive is to inform employees of the assistance offered through and access to the Employee Assistance Program and to provide guidance for administering the Program.

B. Applicability

This directive is applicable to all correctional facilities, offices, programs and parole services within the Department.

C. Facility Reviews

A facility review of this directive shall be conducted at least annually.

D. Designees

Individuals specified in this directive may delegate stated responsibilities to another person or persons unless otherwise directed.

E. Definitions

Agency EAP Coordinator – an individual designated by the Director to coordinate the agency Employee Assistance Program.

Chief Administrator – the Chief Administrative Officer of a correctional center or program site, or for all other offices, the respective Deputy Director or Chief.

Client – an employee or family member of an employee participating in the Employee Assistance Program.

	Illinois Department of Corrections Administrative Directive	Page 2 of 5
Number: 03.01.400	Title: Employee Assistance Program	Effective: 9/1/2021

Employee Assistance Program (EAP) – a voluntary and confidential referral program administered through the Department for employees and their family on a wide range of personal issues including, but not limited to, alcohol or substance abuse, family or marital issues, financial pressures, stress, depression, physical illness, job related issues, legal matters, gambling, child abuse, sexual assault and domestic disputes.

Local EAP Coordinator – an individual designated for each facility or program site to carry out the day-to-day functions of the Program.

Statewide Wellness Response Team (SWRT) – support available to all employees through assistance during and following a major facility incident or situations of distress, in accordance with Administrative Directive 03.01.405. Assistance may include, but not be limited to, providing information, education, referrals, peer support and debriefing.

F. General Provisions

1. Participation and referral to the Employee Assistance Program (EAP) shall be strictly confidential. Information pertaining to a client shall not be released without the client's or guardian's written permission unless required to do so by law.
2. EAP case files shall be confidential and maintained in a locked cabinet within a secure location. Access to files and keys shall be restricted.
3. Job security or promotional opportunities of employees seeking assistance shall not be jeopardized by participation in the EAP.
4. Regardless of participation in the EAP, employees shall be subject to the usual corrective disciplinary action if they demonstrate unsatisfactory job performance.
5. This directive and the current listing of EAP Coordinators shall be posted at each facility and each staffed building in the general office in a prominent and accessible location and in other locations where notices are customarily posted.
6. The Chief Administrator shall ensure that all current and new employees have access to and are advised of the contents of this directive on an annual basis. A copy of this directive need not be given to each employee; however, documentation including the employees' signatures shall be maintained to verify that each employee has been advised of this directive annually. A copy of this directive shall be made available to any employee upon request.
7. Training on the EAP policy shall be included in pre-service training for new employees and as a component of ongoing training programs.
8. All employees with supervisory responsibilities shall complete training, including the types of assistance offered through the EAP and the referral process. This training shall be completed within the first six months of initial appointment to a supervisory position.
9. Clients who need assistance but do not want to go through the EAP may directly contact the appropriate service providers.
 - a. Clients covered by the AFSCME master contract may contact the Personal Support Program (PSP) at 1-800-647-8776.
 - b. All other clients may contact ComPsych Guidance Resources at 1-833-955-3400.
10. EAP Coordinators shall be prohibited from diagnosing, counseling or providing therapy.

	Illinois Department of Corrections Administrative Directive	Page 3 of 5
Number: 03.01.400	Title: Employee Assistance Program	Effective: 9/1/2021

G. Requirements

1. The Director shall appoint an Agency EAP Coordinator who shall:
 - a. Serve as the primary EAP contact person for management;
 - b. Recommend an adequate number of local EAP Coordinators;
 - c. Maintain and distribute a current list of all local EAP Coordinators;
 - d. Maintain confidentiality;
 - e. Coordinate training, as approved by the Director of Staff Development and Training, for local EAP Coordinators; and
 - f. Prepare and submit an annual EAP Report to the Director.

 2. The Chief Administrator shall assign an individual or individuals as the local EAP Coordinator. The local EAP Coordinator shall:
 - a. Make information about the EAP available to employees;
 - b. Serve as a management resource;
 - c. Provide referrals to benefit programs or community resources;
 - d. Attend EAP Coordinator training;
 - e. Maintain confidentiality;
 - f. Understand and explain insurance coverage, use of time, and reimbursement structure for allowable, covered treatment; and
 - g. Complete and submit appropriate forms and reports.

 3. The Chief Administrator shall submit the names of individuals initially assigned as local EAP Coordinators and any changes to the Agency EAP Coordinator.

 4. The Agency EAP Coordinator shall submit a list of all EAP Coordinators to each facility or program site.

 5. Employees and their family members may access the EAP on their own behalf through a self referral. If the client is a minor, the consent of the parent or guardian will be required for the minor to participate in the program.
- NOTE:** Client self-referrals to the Staff Wellness Response Team (SWRT) shall be in accordance with Administrative Directive 03.01.405.
6. Supervisors may refer employees for assistance when he or she notices and has documented a decline in employee job performance or when required by Administrative Directive.
 - a. For SWRT, supervisors may refer employees if they are aware of a need for support. Supervisor referrals shall be made confidentially and directly to the Facility SWRT Coordinator.
 - b. For AFSCME bargaining unit employees:

	Illinois Department of Corrections Administrative Directive	Page 4 of 5
Number: 03.01.400	Title: Employee Assistance Program	Effective: 9/1/2021

(1) Supervisors shall only refer AFSCME bargaining unit employees to the AFSCME Personal Support Program (PSP).

(2) The supervisor shall send a memo to the employee documenting the Supervisor's concerns and the recommendation for the employee to contact PSP.

c. For all other employees:

(1) The supervisor shall send a memo to the employee documenting the Supervisor's concerns and the recommendation for the employee to contact an EAP Coordinator.

(2) A copy of the memo shall be sent to the local EAP Coordinator.

d. Reference to an employee's referral to either Program shall not be included on any documentation placed in the employee's personnel file.

NOTE: The Supervisor may make the employee aware of the Programs prior to making a documented supervisor referral.

7. To access the EAP, the client shall contact an EAP Coordinator to schedule a meeting.

8. The EAP Coordinator shall:

a. Meet with the client and if applicable his or her guardian;

b. Explain the Program;

c. Have the client or guardian sign an Employee Assistance Program Statement of Understanding, DOC 0052;

d. Consider options for referrals; and

e. Discuss referral options with the client and if applicable his or her guardian.

9. Following the meeting, the EAP Coordinator:

a. Shall assign a case number and complete an Employee Assistance Program Case Report, DOC 0050;

b. Shall maintain the original DOC 0050 in a confidential Program file;

c. Shall send a copy of the DOC 0050 to the Agency EAP Coordinator within five working days of client contact;

d. Shall provide the client and, if applicable, his or her guardian with the names of service providers; and

e. May only discuss issues of contact or participation in the Program with the supervisor on the client's behalf if the client signed an Employee Assistance Program Release of Information, DOC 0051.

10. If the EAP Coordinator needs to transfer a client's case, the client or guardian shall be requested to sign a DOC 0051 to transfer the case to another EAP Coordinator.

	Illinois Department of Corrections Administrative Directive	Page 5 of 5
Number: 03.01.400	Title: Employee Assistance Program	Effective: 9/1/2021

11. Prior to the release of any information concerning the client to a third party, the EAP Coordinator shall obtain written permission from the client or his or her guardian. The EAP Coordinator shall:
 - a. Give the client or guardian a DOC 0051;
 - b. Explain the tenets of said form; and
 - c. Upon the signature of the client or guardian and a witness:
 - (1) Give one copy to the client or guardian;
 - (2) Retain the original in the client's EAP file; and
 - (3) Forward a copy with the appropriate information to the receiving party.
 12. The EAP Coordinator shall document subsequent significant contact with the client or guardian, such as changes in insurance carriers, service providers or services requested, on an additional DOC 0050.
 13. It shall be the responsibility of the client or guardian to follow through with the agreed upon course of action.
 14. If the EAP Coordinator is aware that the client or guardian has failed to comply with the course of action or is otherwise notified of a case closure, the EAP Coordinator shall complete a DOC 0050 and close the case. Closed case files shall be retained for at least five years and then may be disposed in accordance with the approved records retention schedule.
 15. The EAP Coordinator shall complete and submit an Employee Assistance Program Activity Report, DOC 0049, to the Agency EAP Coordinator within five working days of the EAP Coordinator sponsoring an activity or event or providing a service. Activities, events and services include:
 - a. Arranging for guest speakers;
 - b. Holding wellness activities or events;
 - c. Conducting a presentation;
 - d. Distributing program materials; and
 - e. Establishing a new resource or service provider contact.
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