



Provider Guideline Assessment & Treatment of Management Referrals

Purpose: This guide describes the standards and procedures for New Avenues Management Referrals. These individuals have been referred by their employer for concerns related to work performance. Assessment, treatment, treatment recommendations and decisions are strictly within the scope of the provider(s) professional judgment. New Avenues acts as a neutral, objective third party to arrange professional services appropriate to the nature of the referral, to serve as an intermediary between the provider, employee, and employer, to coordinate treatment, to communicate information and reports subject to the scope of the authorization for release of information.

"Management Referral" clients are either:

- **Disciplinary** (Related to an employer's corrective action -often at the final stage of discipline or pre-termination) or
- **Non-disciplinary** (related to work performance concerns, but may not be part of the employer's disciplinary process).
- The reporting requirements and procedures remain the same for the provider for both disciplinary and non-disciplinary employer referrals.

Important Points:

- **Treatment is expected to be intensive, brief, and goal directed.** Set expectations with the client that sessions will be weekly (or alternative schedule if more intensive) in order to resolve these concerns within a reasonable time.
- **The focus of treatment goals should be on work performance /work relationship issues.** Because this referral is related to an employee's work, the treatment plan should focus on the issues in the employee's life, condition, attitude, behavior, or circumstances that are impacting work performance.
- **Please call New Avenues Care Manager if other services are indicated,** in order to discuss referral options, modifications in treatment plan, reimbursement questions, and assistance with coordination of services.
- **Do NOT communicate with the employer, union agents, supervisors, or anyone outside of the EAP** unless directed to do so by New Avenues Care Manager and with an appropriate Release of Information. New Avenues is responsible for communicating progress and compliance reports to the employer, subject to the scope of the New Avenues Consent for Release of Information form that accompanies this referral. If you have questions regarding the scope of the information that New Avenues is able to share with the employer, please refer to this release of information form. Be aware that the employee may request you to communicate with their employer for a variety of reasons; please contact the referring New Avenues Care Manager first. Your provider contract prohibits being involved in an employee's grievance, dispute, conflict, or in any actions, implied or direct, against an employer.
- **Retain Your Objectivity** with regard to understanding the employer's action and the employee's perception. These referrals often occur under challenging circumstances at work; our experience is that employers make these referrals based on significant rationale that has warranted action; however, the employee may not perceive of the situation the same as the employer. The goal is to provide the employee with opportunity to obtain professional help that will enable performance improvement. If you have serious concerns about the congruency of information you receive, the insight or the motivation level of the employee, please discuss with the Care Manager.
- **Reimbursement for EAP Services-** most employees have an EAP benefit available for the initial session and for subsequent short term number of outpatient sessions which are at no charge to them. **Bill New Avenues for EAP services using the Management Referral Codes -Do not bill the patient for EAP services.** Please review your authorization form that accompanies this referral in order to determine how many EAP visits are available.
- **Reimbursement For Non-EAP Services-** In the majority of instances, employees are responsible for the cost of treatment beyond the EAP benefit or for services not covered by the EAP benefit such as IOP, classes, inpatient, psychological testing. Most employees use their insurance benefits, and are responsible for co-payments and/or deductibles. **For insurance benefit information** – please refer to the intake form (call sheet) in order to determine if insurance benefits are available and if New Avenues manages the behavioral health benefit or if the employee is covered by an insurance plan that requires any pre-authorization. The payment arrangements and claims information should be discussed with the employee or New Avenues as part of managing ongoing treatment.
- **Timeliness of Your Reporting:** Your assessment and reports on the employee's attendance, compliance, and progress are critical to enabling New Avenues to fulfill its obligation to the employer to delivering timely compliance reporting. The employee's job may rest on the employer seeing evidence of employee's attendance and compliance.
- Involvement in the Management Referral Program is not intended to substitute or replace the employer's normal policy and procedure. An employee is expected to meet all job performance standards while involved in the Management Referral Program.

PROCEDURES for MANAGEMENT REFERRAL CASES

1. Review New Avenues referral intake form and the documentation provided by the employer prior to meeting with the client in order to fully understand the employment concerns.
2. Contact the client after receiving the EAP referral/authorization within two (2) days unless the appointment is made ahead of the authorized fax. Please note whether the preferred contact is home or work.
 - Notify this office as soon as the appointment is made, or if there is difficulty is making the appointment within two days.
 - Appointments should be scheduled outside the employee's work hours unless special permission is given by the employer to attend the first evaluation during work hours. On rare occasion, an employee may need time off from work. If time off from work is required for treatment, the employee may utilize sick leave, short term disability, long term disability, FMLA or worker's compensation benefit, depending on the approval from his/her company, the length of time off needed and the employer company policy. It is the employee's responsibility to understand the company policy and to arrange for time off from work.
3. **Initial Clinical Assessment (Level II EAP):** Fax the ICA after the first visit to this office. Any recommendations such as testing, medications, finances, etc. that require another provider needs to be addressed through New Avenues first. The treatment plan should be focused on improvement or work performance or work related concerns.
4. An **Outpatient Treatment Report (OTR)** must be completed when an employee transfers from EAP to insurance if New Avenues manages the insurance benefit and authorization of benefits is required.
5. **Therapist Monthly Progress Report** – please submit this form to New Avenues at the end of the (3rd) week of each month. Include details regarding attendance dates, compliance with treatment recommendations, and progress towards treatment goals. Please describe in language that can be duplicated when New Avenues is required to report monthly to the employer on the employee's compliance and progress. ***"Compliance" means meeting all of the following conditions:***
 - *Employee is participating and attending regularly the recommended sessions.*
 - *Employee is completing treatment recommendations.*
 - *Employee is remaining sober/abstinent (if applicable). Failure or refusal of a provider- mandated drug testing is considered non –compliance – call the Care Manager.*
 - *Employee is meeting financial responsibility for any co-payments, deductibles, or charges beyond the EAP visits.*
6. **Missed Appointments, Interruption in therapy** – Notify New Avenues promptly in cases of missed appointments, cancellations, or interruption in treatment. Employers are very concerned regarding compliance and request that New Avenues notify them immediately of any interruption in service including the employee withdrawing from service.
7. **Case Closing is a joint decision between Provider and Care Manager:** Contact New Avenues Care Manager when you anticipate that the case is nearing closure. If indicated, the Care Manager will confer with the employer to determine if the employer perceives performance improvement to point of closure. If both parties agree, Fax a **Closing Summary Form** when treatment goals have been completed, or immediately if the employee drops out of treatment or therapy ends for whatever reason. Please complete this form in its entirety.
8. It is the responsibility of this office to inform the provider of any changes in the status of their client regarding benefits, employment, etc.

As we all know, these disciplinary referrals are very labor intensive. A strong partnership approach can help to dramatically improve the employee's chance for success and avoid any controversy about the process and procedures that were utilized. We appreciate your collaboration as we try to help these employees save their jobs.

Please Call Laura Happ, LCSW for any assistance or consultation. Provider line: 866-925-5730 or Direct line: 574-485-1807.