

Management Consultations and Referrals

Central to the EAP's success is the thoroughness and effectiveness of its management consulting capabilities. Management consultations are discussions between a Carelon EAP Consultant experienced in delivering management consultative services and a worksite representative involving a job performance or workplace issue. In these discussions, the Consultant will provide the worksite representative with suggestions regarding how to intervene with an identified employee; the discussions often result in a management referral to Carelon's EAP.

Through consultations, we work with the human-resources department, supervisors, and management to observe, confront, and resolve workplace concerns. As with individual EAP counseling, our consultation service focuses on problem solving. When a manager, supervisor or union steward calls, we will help define the problem in manageable terms and develop a strategy to resolve it. We maintain close contact with management throughout the case, and we develop checkpoints to measure progress. As needed, we can revise the strategy to fit the unique needs of a particular situation.

When a manager, supervisor or human-resources representative calls a Consultant about workplace concerns, the Consultant will typically spend 30 to 45 minutes listening and asking questions. Carelon's Consultants will work with managers to develop a personalized plan of action to address their specific workplace concern. Consultants will also provide educational resources. They can assist in resolving workplace concerns including, but not limited to:

- Conflict resolution
- Constructive confrontation and feedback
- Dealing with difficult employee situations
- Disruptive event management support
- Employee development and team building
- Enhancing communication skills
- Fitness for duty
- Impairment from alcohol and drugs
- Maintaining a drug-free workplace
- Management referrals
- Managing aggression and potential for violence
- Managing through change and transition

Workplace Referrals

Employees sometimes have difficulty recognizing when personal issues are negatively affecting their job performance. For those instances, Carelon developed a standard process by which our clients can make management referrals for EAP services. We have four categories of management referrals: informal, formal, mandatory, and regulatory, as described below.

Category	Description
Informal Referral	<p>A referral that is made when the worksite representative is concerned about an employee and is assisting the employee in accessing EAP services:</p> <ul style="list-style-type: none">• In these situations, the absence of a specific work performance issue indicates that a more formal referral is not required.• These informal referrals are also commonly referred to as "concern referrals."

Category	Description
Formal Referral	<p>A formal referral is a recommendation by the worksite representative for an employee to access EAP services, but with no potential job jeopardy for non-compliance:</p> <ul style="list-style-type: none"> • This type of referral is for employees who are exhibiting job performance problems. • The worksite representative requests feedback regarding an employee's compliance with the EAP recommendations. • A signed release of information from the employee is required to facilitate dialogue with the worksite representative.
Mandatory Referral	<p>A worksite representative can make a mandatory EAP referral in cases when an employee has the potential for job jeopardy for non-compliance:</p> <ul style="list-style-type: none"> • This type of referral is for employees who are exhibiting job performance problems. • A signed release of information is required from the employee to facilitate dialogue with the worksite representative regarding the employee's attendance at the EAP appointment and cooperation with the recommendations resulting from the EAP assessment.
Regulatory Referral	<p>Regulatory referral is one in which the employee holds a safety-sensitive position and is subject to federal rules and mandates, such as the Department of Transportation (DOT) or the Nuclear Regulatory Commission (NRC) and is suspected of drug and/or alcohol use disorder:</p> <ul style="list-style-type: none"> • The referral occurs due to a violation with potential job jeopardy for non-compliance.

When a worksite representative calls the toll-free EAP number requesting assistance with a management referral, we will connect the caller to a Carelon EAP Workplace Consultant, an experienced EAP professional with expertise in consultation on issues that affect productivity and the workplace. Our Consultants are licensed mental health professionals with direct and practical experience in delivering management and organizational consultation services. They average more than 15 years of EAP experience.

The Consultant will listen carefully and conduct a telephonic assessment of the worksite representative's concerns. This typically includes:

- Employee's job title and a brief description of responsibilities, including whether the employee is in a safety-sensitive position as defined by Tenet or by state or federal regulatory agencies
- Employee's date of hire
- Situations that led to the request for assistance
- Description of the current performance problems, including when the problem became apparent, the severity of the problem, and any attendance issues
- Type of corrective actions that have occurred to date

- List of prior job performance problems, if applicable
- The indication from the manager that the employee is presenting with any suicidal/homicidal ideation or threats, alcohol or substance use, previous medical or psychiatric treatment, and any pertinent psychosocial issues relevant to the referral
- A reminder of the potential role of the worksite representative's resources that need to be consulted, such as the human-resources and legal department, to assist with defining and clarifying compliance with company-specific policies and procedures
- Methods of constructive confrontation with the employee and possible employee reactions
- Clarification of strategies and an action plan of how the worksite representative would like to proceed

When a worksite representative decides to refer an employee to the EAP, the Consultant will work collaboratively with the worksite representative to develop an action and follow-up plan.

The employee will be responsible for contacting the Consultant as instructed and within the timeframe outlined. The Consultant will explain his or her role and the management referral process. The Consultant will conduct a telephonic assessment with the employee and record it in Carelon's secure online system. Information collected includes but is not limited to the employee's perception of the performance problem, work history, and job status. The Consultant will listen carefully and provide suggestions and options for resolving or minimizing any personal problems mentioned during the assessment. If the Consultant refers the employee to an EAP provider for a face-to-face assessment, the Consultant will send the provider a letter outlining Carelon's expectations of the provider. The Consultant will follow up with the EAP provider after the initial appointment to clarify the status of the initial assessment, treatment recommendations, and the employee's willingness to comply with the recommendations.

Should the referral be the result of a positive drug test, Carelon will engage our network of EAP providers who are trained and experienced in assessment and treatment of substance use disorders. If the employee is in a position regulated by DOT drug and alcohol testing rules, Carelon will engage our network of qualified Substance Abuse Professionals (SAPs) to provide services that comply with DOT regulations. Our experienced management consultants are experts in managing cases involving employee substance use disorder (in both DOT and non-DOT situations). The interface process would remain as described above.

Follow-up

Upon receipt of a signed Release of Information from the employee, we will inform the worksite representative about the employee's participation and progress in the EAP. At the beginning of the assessment process, we will also provide the employee with a Statement of Understanding that explains the limits of confidentiality. If the employee signs a Release of Information, the Consultant conveys to the worksite representative whether:

1. The employee kept the appointment
2. A treatment recommendation was made
3. The employee accepted the treatment recommendation and followed through

Carelon does not disclose to the worksite representative private details of the employee's treatment; rather, we provide compliance information and general recommendations.

The consultant will continue to monitor the employee's progress in treatment and communicate with the worksite representative as needed. This process enables Carelon and the worksite representative to work in partnership and ensures that we meet the needs of both employee and BCBSNC.

Fitness for Duty Examination Services

We recognize that Tenet from time to time may need to make administrative decisions based on a participant's psychological status. Fitness for Duty is an independent clinical evaluation used to determine whether an employee can safely complete the functions of their job. Carelon can offer Fitness for Duty evaluations (FFDE) to Tenet in situations where you need to decide how to protect your workforce, whether to make accommodations for employees, how to manage problem behaviors, or how to address performance issues. This process can be customized if necessary.

Our Fitness for Duty evaluators provide concrete, actionable information regarding a participant's ability to perform the essential job functions. We also have the capability to provide a Fitness for Duty evaluation with violence screen (FFD-VS), which is a specialized type of Fitness for Duty evaluation that assesses a participant's capacity to perform essential job functions and screens for violence risk issues. We offer Fitness for Duty evaluations with the belief that people have a right to lead productive, meaningful lives. We are therefore committed to providing an objective, timely, and thorough assessment that aids in Carrier's ability to make appropriate employment decisions.

Notification Phase

When a Tenet human-resources staff member, manager, supervisor, or other staff person contacts Carelon through your toll-free number, your employees can request consultation regarding a possible Fitness for Duty evaluation. Carelon's trained, experienced EAP Workplace Consultants will discuss the case with Carrier's representative to determine the appropriateness of a Fitness for Duty evaluator's referral. Potential instances in which a Fitness for Duty evaluation is appropriate include, but are not limited to:

- When a Tenet representative needs to know about a participant's ability to perform tasks, and/or to determine whether Tenet should make accommodations for the participant
- When it is suspected that an employee poses a risk to themselves or to others
- When an employee makes a threat and Tenet wants to protect the workplace
- Any other concerns regarding the employee's ability to function in the workplace and meet the behavioral expectations of Tenet.

Our Consultants are trained to help your representative delineate the different circumstances that require a forensic FFDE versus a Department of Transportation (DOT) referral or a formal or mandatory referral. Referrals related to an employee's violation of DOT drug and alcohol-testing rules, for example, are typically not appropriate for referral for FFD and are instead managed as a DOT drug referral. Depending on the situation, the Consultant may also recommend a formal or mandatory referral to the EAP, which may involve recommending a psychiatric evaluation for the

employee. However, such evaluations are not for the purposes of determining fitness for duty. An FFDE may also be initiated because of a recommendation following a face-to-face EAP assessment or psychiatric evaluation.

Assessment/Referral Phase

If a decision is made to proceed with a FFDE, the Consultant:

- Creates a record in Carelon's CareConnect application to capture information related to the FFDE for the particular employee who has been referred for a FFDE
- Collects the following information from the employer representative:
 - Employee name
 - Employee identification number
 - Employee contact phone numbers
 - Employer representative contact phone numbers
 - FFDE checklist (when appropriate)
- Communicates to the Tenet representative the cost of completing an FFDE, including charges for any cancellations or no shows, and collects and documents billing information
- Documents that the fee (including that for any cancellations or no shows) has been discussed with the representative, noting the prices quoted
- Explains the FFD process, follow-up, return-to-work planning, and other activities
- Carelon's Consultant describes the process for records request to the Tenet representative in the case of the employee requesting a release of a copy of their FFDE report, based on applicable laws
- Refers the case to FFD case management and coordination during the assessment and referral phase to an FFDE Specialist
- Any inquiries, questions or concerns that Carelon receives from the employee or employer representatives regarding a particular case are routed to the appropriate resource
- FFDE report and findings are sent to Tenet and any of your representative's questions on the findings are answered

Follow-up Phase

During the follow-up phase, after the FFD evaluation is completed, the status of the case is discussed with a Tenet representative. The referring Consultant discusses the Tenet representative's expectations and a schedule for follow up. Any post-evaluation requirements are addressed (for example, second opinions, follow-up appointments with assessor).

In some circumstances, a second FFDE may be arranged; for example, when Tenet requests a follow-up evaluation after the employee has obtained treatment and before the employee returns to work. The charges for any follow-up evaluation are the same as that for the initial evaluation. The Consultant also contacts the employee, as appropriate, to review the treatment plan and provide referrals as needed. The employee begins the treatment or education program. The Consultant updates Tenet according to the agreed-upon schedule.

If ongoing treatment recommendations are made, the Consultant monitors compliance weekly. After step-down from inpatient care, compliance is monitored, at minimum, monthly for the first three

months and quarterly thereafter for one year if requested by Tenet. With signed Authorization to Disclose Information for Formal or Mandatory Referrals to the EAP, compliance reports are communicated to the Tenet representative.