



## Department of Transportation

### Workflow for substance abuse professionals (SAP) referrals

#### Management Consultant (MC) Team

- Licensed clinicians with experience and training in mental health, substance abuse, dual diagnosis and varied workplace issues
- MC's are trained in Department of Transportation (DOT) guidelines and regulations
- Available for telephonic consultations regarding a wide range of issues including performance management, workplace safety, concerns about an employee's well being, team building and organizational development
- Provide ongoing case management for mandatory referrals including DOT violations.

#### SAP Process

- Workplace representative calls dedicated EAP number and is transferred to a MC.
- MC gathers referral information from the workplace:
  - Name and contact information for the Designated Employer Representative (DER)
    - Employee name and demographics
    - Employee job title
    - Length of employment
    - Type of DOT violation (pre-employment, random, post accident, or for cause drug test)
    - Specific drug test results
    - Date of DOT violation
    - History of prior DOT violations
    - If the employer requests that compliance reports be provided to any other employer representatives (HR, Occupational Health), besides the DER, then an Optum ROI must be signed by the employee. Communication is only allowed with the DER under the DOT regulations
- Employee is instructed to contact the assigned MC. The MC will...
  - Review SAP mandatory referral process
    - Discuss confidentiality issues
    - Complete clinical screening
    - Arrange urgent/emergent services if indicated

- SAP evaluation is scheduled by the MC
  - MC locates SAP and checks/confirms qualifications
  - Appointment is scheduled within 24-72 hours after initial contact with employee
  - The MC should educate the SAP regarding the role of the MC and confirm their understanding of the SAP role and responsibilities to minimize possible confusion and to set expectations.
  - Appointment information is shared with the employee.
  - Employee is instructed to call the SAP to confirm the appointment and obtain directions to the office
  - MC faxes the SAP Referral Packet and the Optum DOT Statement of Understanding (SOU) to the SAP's office. Employee is requested to sign the SOU at the initial appointment.
  
- SAP calls the MC after the initial evaluation to discuss assessment and share recommendations for education and/or treatment
  - SAP faxes the Initial SAP report to the company Designated Employee Representative (DER). Per DOT regulations, the SAP is required to send the report directly to the DER. Check to assure this report is received by the DER
  - SAP and the MC collaborate to arrange the recommended education and/or treatment
  - MC sends ROI to the treatment provider, even though not necessary as a service agent, so the MC can step into the EAP role to assure the employee's compliance and obtain updates in a timely manner
  - MC calls the DER to verbally review the plan
  - MC calls the employee to review the plan.
  
- MC provides ongoing verbal updates about the employee's compliance to the DER.
  - Frequency of compliance updates is negotiated between the DER and the MC
  - Within the MC's role as a service agent, the MC can act in a supportive role to the SAP by assisting with coordination and monitoring of treatment.
  - The MC can provide customer service to the employer by obtaining periodic compliance reports from the treatment provider and updating the employer. If the MC learns that the employee is non-compliant before the SAP, then the MC should contact the SAP and the DER immediately to inform them. It is the responsibility and role of the SAP to officially determine compliance or non-compliance and report this in writing to the DER.
  - MC will maintain ongoing verbal contact with the education/treatment provider until the employee completes all recommendations.
  - MC will facilitate communication between the SAP and the DER and the SAP and the MRO when needed.

- Follow-up SAP evaluation is scheduled after the employee has engaged in or completed the recommended education and/or treatment.
  - Per discretion of the SAP, the SAP follow-up evaluation can occur before the full range of treatment recommendations has been completed
  - SAP faxes the follow up SAP report to the DER
  - The role of the SAP ends upon completion of the SAP follow-up evaluation and report/testing schedule sent.
  - Upon the completion of the SAP's follow-up evaluation and the employee's return to work, the workplace may determine that monitoring compliance of treatment and/or aftercare is necessary. The MC can provide this service through the management referral process and protocols. (see management referral guidelines)
  - If the employer requests monitoring of aftercare, the MC's role changes from a service agent to an EAP and the referral changes from a DOT SAP referral to an EAP Management referral. The employee must sign an Optum ROI so the MC can provide ongoing compliance reports to the employer.
  - The MC may consult with the employer regarding return to work issues and whether a written return to work agreement would support the employee's safety and successful transition back to work. The agreement can include the employer's expectation to follow any additional recommendations outlined by the SAP

