



UNITED STATES MARINE CORPS  
MARINE CORPS AIR STATION  
BOX 99100  
YUMA, ARIZONA 85369-9100

StaO 12792.2A  
3BF  
07 OCT 1997

STATION ORDER 12792.2A

From: Commanding Officer  
To: Distribution List

Subj: CIVILIAN EMPLOYEE ASSISTANCE PROGRAM (CEAP)

Ref: (a) CPI 792 (NOTAL)  
(b) CPI 432 (NOTAL)  
(c) CPI 752 (NOTAL)  
(d) OCPMINST 12792.2 (NOTAL)  
(e) StaO 12792.3

Encl: (1) Definitions  
(2) Guidance on Contact and Referral Counseling  
(3) Records and Reports  
(4) Civilian Employee Assistance Program Administration

1. Purpose. To issue the policy under references (a) through (e) to provide assistance to civilian employees with problems involving misuse of alcohol or drugs or other personal problems which have or may have an adverse effect on job performance, and to assign responsibility and provide guidance for implementing this policy.

2. Cancellation. StaO 12792.2.

3. Definitions. Definitions are given in enclosure (1).

4. Policy. It is the policy of this activity:

a. To recognize alcoholism as a treatable illness and drug abuse as a treatable health problem.

b. That alcoholism and drug abuse are health problems in which the employee's job performance is impaired as a direct consequence and that employees having these illnesses will receive the same consideration and offer of assistance that is extended to employees having other illnesses or health problems.

c. That this activity is concerned with the employee's use of alcohol only as it may affect job performance or the efficiency of the service. However, this activity does not condone employee drug activity or other

07 OCT 1997

actions contrary to the law. Alcohol or drug abuse will not bar management initiated corrective actions, including removal, based on illegal activities or when otherwise warranted.

d. That employment or promotion opportunities will not be jeopardized because of prior alcohol or drug abuse or by a request for counseling or referral assistance and that the confidentiality of counseling or medical records of individuals participating in the program will be preserved.

e. To grant sick leave, annual leave, or leave without pay for alcohol or drug abuse treatment or rehabilitation as with any other illness or health problem. Sick leave is appropriate if an employee participates in treatment of a condition personal to the employee, including alcoholism or drug abuse by a member of the employee's immediate household where family therapy is an element of the treatment regimen.

f. That employees who may have an alcohol, drug abuse, or another personal problem are encouraged to voluntarily seek counseling and information from designated Contact and Referral (C&R) Counselors.

g. That employee referral to or participation in the CEAP will not be based on any non-job or non-performance related factor, prohibited personnel practice or action that would constitute a finding of overt or presumptive discrimination on the grounds of race, color, sex, age, physical or mental handicap, religion or national origin.

5. Responsibilities

a. The Family Service Center Director shall:

(1) Prepare a letter for signature of the Commanding Officer to appoint by name a collateral duty CEAP Administrator, with a copy forwarded to the Human Resources Office for the Official Personnel Folder (OPF). The Administrator may be civilian or military, from within or without the activity, depending on circumstances and the needs of the activity.

(2) Prepare a letter for signature of the Commanding Officer to appoint by name one or more part-time C&R counselors.

(3) Ensure that sufficient C&R counselors are appointed to meet the civilian employee needs.

b. The CEAP Administrator shall:

(1) Ensure that the name and location of each C&R counselor is permanently posted on official bulletin boards.

- (2) Ensure that required education and training is given.
- (3) Be the principle point of contact for all administrative matters concerning the CEAP.
- (4) Maintain records and prepare required reports.
- (5) Establish and maintain an up-to-date directory of community resources to which employees may be referred.
- (6) Maintain a file on program implementation to facilitate Personnel Management Evaluations (PME) and internal evaluations.
- (7) Maintain a current list of C&R counselors and ensure that they are apprised of pertinent personnel management information and changes thereto.
- (8) Counsel employees only if appointed as a C&R counselor.
- (9) Shall be familiar with and comply with the provisions of reference (e), pertaining to CEAP.

c. C&R Counselors:

- (1) C&R counselors are responsible for:
  - (a) Consulting confidentiality with employees who so request or are referred for purposes of objectively evaluating and identifying personal problems, identifying the best available source of assistance and providing guidance to the employee where appropriate.
  - (b) Referring the employee for medical, psychiatric or other evaluation when evaluation or identification of the problem is beyond the capability of the C&R counselor.
  - (c) Being aware of community referral resources and recommending additions to or deletions from the list maintained by the CEAP administrator.
  - (d) Advising supervisors on the use of CEAP procedures in dealing with a problem employee.
  - (e) Consulting or coordinating with the Human Resources Office (HRO) staff or Equal Employment Opportunity (EEO) counselors without violating confidentiality regulations.

07 OCT 1997

(f) Conducting post-rehabilitation follow-up.

(g) Maintaining individual case files which will contain data necessary for the counselor's use and for required reports.

(h) Being familiar with and comply with provisions of reference (e), as they pertain to C&R.

(2) C&R counselors are not responsible for and shall not perform rehabilitation, long-term counseling or psychotherapy.

(3) Further guidance on C&R counseling is contained in enclosure (2).

d. Supervisors

(1) Supervisors are responsible for:

(a) Identifying and documenting unacceptable work performance or conduct patterns of performance deterioration.

(b) Determining the appropriate action to correct the unacceptable or deteriorating performance.

(c) Seeking guidance from the CEAP Administrator or the Supervisory Personnel Management Specialist or both.

(d) Discussing unacceptable or deteriorating work performance with the employee, providing the employee with documented instances of such performance and giving the employee a firm choice between seeing and cooperating with a C&R counselor or receiving other management initiated corrective action.

(e) Effecting or initiating corrective action if the employee declines to see or cooperate with a C&R counselor or if the employee undertakes the course of treatment recommended by the C&R counselor but fails to improve work performance or behavior to an acceptable level within a reasonable length of time.

(2) Supervisors may take corrective action concurrently with referral to the C&R counselor.

(3) Supervisors are not to determine whether alcoholism or drug abuse are present or reasons for the employee's unacceptable or deteriorating work performance or behavior.

e. Employees

(1) Employees are responsible for:

(a) Learning the provisions and procedures of the CEAP.

(b) Participating in the CEAP when they become aware of any personal problem which results or may result in a deterioration of their work performance.

(c) Cooperating with supervisors and C&R counselors in matters relating to the CEAP.

(d) Correcting the unacceptable performance or conduct with or without assistance from the CEAP.

(2) Employees are not required to accept or act on advice by the C&R counselor and may seek other means to correct personal problems. In either case, if an employee can or will not improve unacceptable performance or conduct, corrective action may be initiated by management.

f. Human Resource Specialists, EEO Officials and EEO counselors: These personnel will:

(1) Know the policies and procedures of the CEAP.

(2) Consider the CEAP when providing advice to employees and supervisors and in carrying out other responsibilities.

(3) Consult and coordinate with the CEAP Administrator and C&R counselors, when appropriate.

6. CEAP Administration. The CEAP shall be organized and administered to meet program requirements of higher headquarters.

a. Staffing

(1) At least one collateral duty C&R counselor shall be appointed.

(2) Collateral duty appointments shall be for an indefinite period.

(3) An appointing official may relieve a collateral duty C&R counselor at any time. No reason need be given but the relief must be in writing.

(5) Each C&R counselor should receive appropriate training unless already trained when appointed.

(6) C&R counselors shall be provided space which affords privacy and protects the confidentiality of counseling interviews.

b. Training and Education

(1) Refresher training shall be conducted periodically for all supervisors of civilian personnel to ensure that they are aware of current directives concerning the CEAP, the use of CEAP procedures as a management tool, and interrelationships between the CEAP and other facets of personnel management. Personnel appointed to supervisory positions shall be given CEAP training as part of their basic supervisory training.

(2) A continuing education program shall be conducted for all employees.

c. Expenses of Rehabilitation. The employee is responsible for the costs of any treatment or rehabilitation which results from referral under the CEAP.

(1) C&R counselors may assist the employee in obtaining financial aid from the employee's health benefit plan or the Office of Federal Employee's Compensation to the extent of providing advice. C&R counselors may not represent an employee in any claim for financial aid.

(2) If the activity contracts support for operation of the CEAP, the expenditure of appropriated funds is appropriate only for procurement of diagnostic and preventative psychological counseling services. Such services may include problem identification, referral for treatment or rehabilitation and follow-up to aid an employee in effective readjustment on the job during and after treatment but may not include treatment or rehabilitation.

7. Records and Reports. The confidentiality of personal information in the CEAP records shall be protected in accordance with regulations of higher headquarters. Official Personnel Folders (OPF's) will not contain any documentation relating to an employee's participation in the CEAP as a counselee. See enclosure (3) for detailed guidance on records and reports.

a. Case Files. C&R counselors will maintain a file on each participating employee. The case file is the basis for statistical files maintained in accordance with paragraph 7b below.

b. Statistical Files. The CEAP Administrator will maintain statistical files for the purpose of evaluating the activity's CEAP and as the basis for the reports.

c. Reports. A semi-annual report on the CEAP will be required in a format prescribed by higher headquarters.

8. Evaluations. The activity CEAP will be evaluated by the Commanding Officer, PME's and by higher headquarters CEAP Administrators. See enclosure (4) for detailed criteria and guidance.

9. Applicability. This Station Order is applicable to both civil service and non-appropriated fund employees of the Marine Corps Air Station Yuma, Arizona.

10. Summary of Revision. This revision contains a substantial number of changes and should be reviewed in its entirety.

  
C. J. TURNER

DISTRIBUTION: C



## DEFINITIONS

These definitions are only for the administration of the CEAP. They are not intended to modify or influence definitions applicable to statutory provisions and regulations which relate to disability benefits or criminal or civil responsibility for an individual's acts or omissions.

1. Alcohol Abuse. Use of alcohol which results in unacceptable social behavior or impairs the individual's performance of duty or job-related conduct, physical or mental health, financial responsibility or interpersonal relationships.
2. Alcoholism. A chronic and progressive disease characterized by physical and psychological dependence on alcohol. It does not necessarily result in performance or conduct problems, especially in the early stages.
3. Civilian Employee Assistance Program (CEAP). A management program offering assistance to employees who have problems involving alcoholism, drug abuse or other serious personal problems which result or may result in impairment of job performance or job-related conduct.
4. CEAP Administrator. The individual designated by the Commanding Officer to ensure that the provisions of the program are met.
5. Contact and Referral Counselor. An individual responsible for conducting the initial interview with an employee, explaining the provisions of this program, determining the nature of the personal problem, and referring the employee to a source of assistance.
6. Drug Abuse. Use of a drug in a manner or to a degree which interferes with the individual's health, interpersonal relations, social behavior, economic functioning, or job performance.
7. Rehabilitation. A process often necessary for the successful recovery from alcoholism, drug addiction or other dependencies. Rehabilitation occurs following treatment and normally does not require medical supervision. Ordinarily, rehabilitation involves individual or group counseling or participation in self-help organizations such as Alcoholics Anonymous or Overeaters Anonymous.
8. Treatment. The initial step in the process of recovery from alcoholism, drug abuse or other dependencies. Treatment is conducted under medical supervision and serves to alleviate the physical and psychological effects of substance abuse including withdrawal symptoms and medical conditions resulting from substance abuse. Treatment is a prelude to, and should not be confused with, rehabilitation.



## GUIDANCE ON CONTACT AND REFERRAL COUNSELING

1. Purpose. To provide advice and guidance on objectives, limitations and techniques to C&R counselors and CEAP administrators. The advice and guidance is not mandatory except for requirements imposed by other authorities.

2. General. C&R counseling is an interviewing technique which combines education, problem identification and referral to treatment or rehabilitation facilities or other helping agencies. It is not treatment, therapy or rehabilitation. The C&R counseling interview is an intermediate step between supervision and rehabilitation.

a. For the supervisor, it eliminates the need to identify the nature of the employee's personal problem and it enables the supervisor to concentrate on the evaluation of employee performance and job related conduct.

b. For the employee, it provides a source of assistance with personal problems which may affect job performance, but does not entail admission of the problem to supervisors or other managers.

3. The C&R Counseling Interview. The C&R counseling interview has three major elements: education, assessment and referral. Referral is usually, but not necessarily, a part of the interview. Education and assessment are always present.

a. Education, as a part of the C&R counseling interview, is explaining the CEAP to ensure that the employee is given ample opportunity to become aware of and understand the CEAP and its implications. Specific matters to be addressed include the confidentiality of the content of the interview, the employee's responsibility under the CEAP, and management's prerogatives in the CEAP and the relationship of the CEAP to disciplinary action.

b. Although assessment is a major function of the counseling interview, the counselor need not be qualified as a clinical diagnostician. Most C&R counseling interviews will have one of three results:

(1) The counselor reaches a conclusion as to the employee's major personal problems. For self-referred employees, this may be only a matter of accepting the employee's self-evaluation. For referred employees, it may be necessary to use additional interview techniques and may result in only partial or grudging concurrence, or total non-concurrence by the employee with the counselor's assessment. In such cases, the counselor should refer the employee to an appropriate helping agency.

ENCLOSURE (2)

(2) The counselor is unable to reach a conclusion as to the nature of the employee's problem and the employee does not acknowledge or cannot identify the problem. In such cases, the counselor should recommend consultation with a helping agency which can offer medical, psychiatric or counseling evaluation services.

(3) The counselor concludes that the unacceptable performance or conduct is not the result of a personal problem which comes under the CEAP. One course of action is to refer the employee to cognizant HRO specialists. Another is to send the employee back to the supervisor without further action or recommendations.

c. Referral is the process in which the C&R counselor suggests that the employee undertake a course of action for the purpose of resolving the personal problem. In many instances the suggested action involves seeking further assistance from a local helping agency. It should be made clear that the referral is a recommendation and that the employee is not obligated to act on it. When circumstances indicate, the counselor should point out that a good faith effort to carry out the recommendation might be a way to avoid unpleasant consequences.

#### 4. Confidentiality

a. Regulations for confidentiality of counseling records are contained in Appendix A of reference (a). The content of the C&R counseling interview, specifically including the nature of the employee's problem, shall be kept confidential. The regulations address only situations which involve alcohol or drug abuse, but the procedures shall be applied in situations involving other problems.

b. In general, no information about the counselee or the counseling interview may be given to any person unless the counselee has given written permission to do so. Appendix C to reference (a) is one example of a release form which can be used to grant the permission. When a signed release is provided by the counselee and information is given to a third party, such as a supervisor, the third party is bound by and must observe the confidentiality regulations.

c. When the employee has been referred to the CEAP by the supervisor, there is a presumption that management is dissatisfied with the employee's job performance or job related conduct. In such instances the C&R counselor should explain the advantages of and encourage the employee to permit the release of information to the supervisor. To do so demonstrates the employee's interest in correcting the problem and can have the effect of forestalling or reducing the severity of any corrective action.

ENCLOSURE (2)

07 OCT 1997

5. Other Functions. The C&R counselor may perform other functions, such as: pre-interview consultations with supervisors, liaison with helping agencies, consultation with personnel specialists, post-interview follow-up on counselee progress, post-interview guidance to management with employee consent, post-rehabilitation advice and guidance to counselees, and presentations to management and employees.

ENCLOSURE (1)



## RECORDS AND REPORTS

1. Purpose. To provide advice and guidance to CEAP administrators and C&R counselors on records which should be kept to provide input for evaluation and reports.

2. General

a. The CEAP administrator is responsible for overall program records which serve which serve as a basis for the annual evaluation of the program by the activity and by other authorities.

b. C&R counselors are responsible for maintaining individual case records which serve as a basis for reports, as source documents for program evaluation, and as a reference, when needed, for any follow-up action with an employee.

3. Contact and Referral Counselors' Reports

a. Counseling records are necessary for adequate, continuing program administration. Records are confidential in the same context as medical records and safeguards must be adequate to prevent them from becoming public knowledge. While content and format are optional, the following information will be useful:

(1) Background information including: name of counselee, home address and telephone number, marital status, name of spouse, name of personal physician, work location and telephone number, position title and grade, supervisor's name and telephone number, and years of government service.

(2) Type of referral: voluntary, supervisory, family, or other.

(3) Initial interview information including: date, initial entry into program or re-entry, nature of problem, i.e., alcohol, drugs, or other, recommended course of action, evaluation of employee's reaction, and advice to or coordination with supervisor and others.

(4) Follow-up interview information including: date, refinement of problem definition, additional recommended course of action, liaison with assisting agency, etc.

ENCLOSURE (3)

StaO 12792.2A  
07 OCT 1997

b. There is no requirement to record employees who merely request and receive information or are otherwise assisted short of a C&R counseling interview. In the annual report, C&R counselors should include only those employees with whom C&R counseling interviews have been conducted.

4. Reports. Periodic reports will be made as required by higher headquarters. The items listed below constitute the minimum required in the quarterly report.

a. Number of new or reopened cases - include only those in which a C&R counseling interview was held.

b. Number of employees helped by the CEAP - restored to acceptable job performance or conduct on a sustained basis.

c. Number of employees not helped by the CEAP with a breakout as follows:

(1) Retired.

(2) Terminated or deceased.

(3) Voluntarily separated.

(4) Remain with the activity.

d. The number of employees in 4a above for whom it is too early to determine whether the employee was or was not helped.

e. Number of employees in 4a above who were involuntary referrals.

f. Number of employees in 4a above who self-referred.

ENCLOSURE (3)

**CIVILIAN EMPLOYEE ASSISTANCE PROGRAM ADMINISTRATION**

1. Purpose. To provide advice and guidance to activity heads, Human Resources and CEAP administrators on implementing the CEAP.

2. Criteria for Evaluation. In one year, a moderately effective CEAP will provide C&R counseling to 2 percent of the employee population, of which at least 1 percent will involve alcohol abuse and 1 percent or more will involve all other personal problems including drug abuse.

a. When an activity's case load is appreciably less than the percentages cited above, the activity's CEAP should be reviewed to determine if there are extenuating circumstances or if the CEAP is not being adequately supported.

b. Activities with fewer than 500 employees may experience year to year fluctuations but over time should expect an average equal to the above percentages.

c. Other criteria to be examined include supervisors' understanding of the CEAP, employees' awareness of the program, the ratio of management referrals to self-referrals, and availability of C&R counselors.

3. CEAP Administrator. Administration of the CEAP is different and separate from the C&R counseling. One individual may be designated to perform both functions if that best meets the activity's needs, providing the individual has sufficient official time to perform both functions adequately.

a. The CEAP administrator is responsible for execution or coordination of all aspects of the CEAP and is the principal point of contact, within the activity, for CEAP matters.

b. There are no specific qualifications, other than administrative ability, for CEAP administrators. It is helpful if the administrator is familiar with employee relations policies and procedures and has an understanding of alcoholism and drug dependency, as well as a capability for effective oral and written communications.

4. Relationship to Labor Organizations. The support and active participation of labor unions can contribute to the success of an employee assistance program. Union officials can assist in identifying future referrals. Full support and cooperation of labor organizations can be

ENCLOSURE (4)

StaO 12792.2A  
07 OCT 1997

expected only if the understand management's efforts to assist employees through the CEAP. The following measure have been used to generate labor support and should be considered:

- a. Include labor representatives in the CEAP's implementation.
- b. Establish and maintain open lines of communications between management and labor unions with regard to the CEAP.
- c. Include union representatives in briefings, classroom training or other orientation programs to ensure common understanding of policy and program procedures.

5. Relationship to Disciplinary Action. The CEAP supplements but does not replace existing procedures for dealing with problem employees. The purpose of discipline is to correct the offending employee and maintain discipline and morale among other employees. The purpose of the CEAP is to correct unsatisfactory performance or conduct, hopefully before disciplinary action becomes necessary. Referring an employee to the C&R counselor is not a bar to taking action under the provisions of references (b) and (c). There is a distinction to be made between offering assistance through counseling to an employee with a problem and taking corrective action against an offender. In some instances it will be appropriate to concurrently offer assistance and take corrective action.

ENCLOSURE (4)