



Policy and Procedure Manual

2017-2018

**Post-Master's Fellowship Programs
In Social Work
and Marriage & Family Therapy**

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**KAISER PERMANENTE
NORTHERN CALIFORNIA REGION**

**Post-Master's Fellowship Programs
in
Social Work
and
Marriage and Family Therapy**

**Registered Associate Clinical Social
Worker & Marriage and Family
Therapist Fellows**

Policy and Procedure Manual

Training Year

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KAISER PERMANENTE NORTHERN CALIFORNIA REGION MENTAL HEALTH TRAINING PROGRAMS

POST-MASTER'S DEGREE (ACSW and AMFT) FELLOWS POLICY AND PROCEDURE MANUAL

The Post-Master's Degree Training Programs in Social Work and Marriage and Family Therapy are provided by and funded through the Kaiser Permanente Northern California (KPNC), and are consistent with state and national guidelines. This manual outlines the policies and practices that are applicable to Registered Associate Clinical Social Workers (ACSWs) and Marriage and Family Therapist Fellows (AMFTs). The manual is posted on the program's website at <http://kp.org/psychtraining>. The reader is referred to this website for most program information, including but not limited to: descriptions of the programs at individual training sites; directories of program contacts; and regional training seminar schedules.

Mental health fellows, as employees of Kaiser Permanente Northern California (KPNC), are also subject to KPNC's general policies and procedures. These criteria are presented to the fellow during the orientation process. Fellows may also access this information after their start date through MyHR, located as a link at <http://insidekp.kp.org/ncal/portal/>.

1. PROGRAM OVERVIEW

The Post-Master's Degree Training Programs prepare mental health fellows for careers in the fields of social work and marriage and family therapy. The programs are conducted at 13 training sites, all located within Kaiser Permanente Northern California. KPNC mental health fellows train in a broad range of settings, in preparation for careers as licensed clinical social workers and marriage and family therapists.

The post-Master's fellowships are full-time positions (40 hours per week). One-half of the fellow's time (approximately 20 hours per week) is spent providing direct services to clientele through individual, group or family therapy. The fellow spends the remaining hours engaged in training activities, which include but are not limited to weekly supervision (both individual and group), and didactic seminars. Training activities also include an outward focus: We now require all mental health trainees to complete a minimum of 32 hours of work in their local communities.

1.01 Mission Statement

The Mission Statement for the Post Master's Degree Training Programs is articulated by the following: Kaiser Permanente is committed to provide the highest possible training for mental health fellows and to prepare them for a dynamic role as mental health professionals in the health-care system of the future.

1.02 Program Goals, Objectives and Competencies

FOUNDATIONAL GOALS, OBJECTIVES ANDCOMPETENCIES

GOAL 1: PROFESSIONALISM: To provide fellow with opportunities to develop and enhance professionalism throughout the training year

Sub Areas/Objectives	Essential Components/Competencies
A) Professional identity	<ul style="list-style-type: none"> ▪ Understands professional values; honesty; personal responsibility ▪ Understands self as professional, “thinking like a mental health professional”
B) Department	<ul style="list-style-type: none"> ▪ Understands how to conduct oneself in a professional manner
C) Accountability	<ul style="list-style-type: none"> ▪ Accepts personal responsibility across settings and contexts

GOAL 2: REFLECTIVE PRACTICE/SELF-ASSESSMENT To encourage fellow to develop reflective practice, self-assessment and self-care skills

Sub Areas/Objectives	Essential Components/Competencies
A) Reflective practice	<ul style="list-style-type: none"> ▪ Demonstrates basic mindfulness and self-awareness; basic reflectivity regarding professional practice (reflection-on-action)
B) Self-assessment	<ul style="list-style-type: none"> ▪ Knowledge of core competencies; emerging self-assessment regarding competencies
C) Self-care: Attention to personal health and well-being to assure effective professional functioning	<ul style="list-style-type: none"> ▪ Understands the importance of self-care in effective practice; knowledge of self-care methods; attention to self-care

GOAL 3: CULTURALLY SENSITIVE PRACTICE: To enhance fellow’s ability to treat patients of different socioeconomic backgrounds, ethnic groups, religious backgrounds, and gender and sexual identities with sensitivity and cultural competence

Sub Areas/Objectives	Essential Components/Competencies
Objectives: Self-awareness; awareness of others; and awareness of the interaction of self and others as shaped by individual and cultural diversity, taking into consideration any cultural, individual and role differences, including those	<ul style="list-style-type: none"> ▪ Knowledge, awareness and understanding of: <ul style="list-style-type: none"> - One’s own dimensions of diversity and attitudes toward others’ diversity - Other individuals as cultural beings - (Continued next page)

<p>based on age, gender, gender identity, race, ethnicity, national origin, religion, sexual identity, disability, language and socioeconomic status, and context</p>	<ul style="list-style-type: none"> - The interaction between self and others as shaped by individual and cultural diversity and reflecting a confluence of diverse cultural beings/entities <ul style="list-style-type: none"> ▪ Knowledge, skills and attitudes regarding intersecting and complex dimensions of diversity ▪ Knowledge of methods and techniques for assessing patients' experience and values
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GOAL 4: ETHICAL/LEGAL STANDARDS AND POLICY: To enhance fellow's knowledge and clinical application of legal and ethical issues involved in the practice of Social Work and Marriage and Family Therapy

Sub Areas/Objectives	Essential Components/Competencies
<p>Knowledge of ethical, legal and professional standards and guidelines</p>	<ul style="list-style-type: none"> ▪ Basic knowledge of the NACSW Code of Ethics or CA-MFT Ethical Standards; beginning knowledge of legal and regulatory issues, including California and national law, in the practice of counseling that apply to practice in a training setting

GOAL 5: INTERDISCIPLINARY SYSTEMS AND RELATIONSHIPS: To provide fellow with opportunities to function autonomously in multi-disciplinary treatment teams and to develop and maintain professional relationships

Sub Areas/Objectives	Essential Components/Competencies
<p>Functioning in multidisciplinary and interdisciplinary contexts</p>	<ul style="list-style-type: none"> ▪ Cooperation, teamwork and collaboration

FUNCTIONAL GOALS, OBJECTIVES AND COMPETENCIES

GOAL 6: THERAPEUTIC RELATIONSHIPS: To provide fellow with opportunities to develop healthy and effective therapeutic relationships with patients

Sub Areas/Objectives	Essential Components/Competencies
<p>Interpersonal relationships and affective skills</p>	<ul style="list-style-type: none"> ▪ Awareness of own and tolerance of other's affect

GOAL 7: INTERVENTION: To provide fellow with training in therapeutic interventions designed to alleviate suffering and promote health and well-being of individuals, groups, and/or organizations

Sub Areas/Objectives	Essential Components/Competencies
A) Counseling skills & treatment planning	<ul style="list-style-type: none"> ▪ Basic knowledge of counseling skills and interventions ▪ Knowledge of methods and techniques for assessing patients' experience and values ▪ Awareness of the therapeutic process
B) Risk assessment	<ul style="list-style-type: none"> ▪ Foundational background in assessing for risk
C) Progress evaluation	<ul style="list-style-type: none"> ▪ Basic knowledge of the evaluation of progress and intervention outcome

GOAL 8: COMMUNITY PARTNERSHIPS: Fellow to provide outreach to underserved populations in the community to promote healthy behaviors and provide education and training

Sub Areas/Objectives	Essential Components/Competencies
A) Provides outreach to underserved communities	<ul style="list-style-type: none"> ▪ Provide a minimum of 32 hours spent on community projects, working to promote healthy behaviors to underserved populations
B) Demographic and outcome data	<ul style="list-style-type: none"> ▪ Collects appropriate and relevant demographic information and outcome data
C) Community alliances	<ul style="list-style-type: none"> ▪ Develops alliances with relevant individuals/agencies

2. PROGRAM PARTICIPATION POLICIES

2.01 Diversity and Equality in Selection and Recruitment

The training program strives to encourage applications from persons who indicate that they come from diverse, underserved or disadvantaged backgrounds. Practicum supervisors and directors review all applications and ensure that all applicants who meet general criteria for the program are included in a selection pool.

2.02 Employment Statement

Both fellows and KPMC enter into the employment relationship voluntarily. A fellow is free to resign at any time throughout the program. Similarly, KPMC may also at any time conclude the employment relationship where it believes it is in the best interest of Kaiser Permanente to do

so. This conclusion may be based on but not limited to the following circumstances: ethics violations; competency concerns; or failure to meet labor standards.

2.03 Selection Process

Interested applicants must apply to the training programs through the KP jobs website. Training directors and their training committees then review applicants' qualifications. In general, candidates are interviewed and selected in the late winter and early spring for terms beginning in September. In scheduling the interviews, the training directors work closely with the departmental managers.

The term of the training program is up to one year, unless terminated earlier. A Post-Master's fellow may be offered an additional training year. Applicants must be authorized to work in the United States *without* an employer-sponsored visa (examples include but are not limited to H-1B, TN) or a student visa (examples include but are not limited to F-1 OPT).

2.04 HR Employment Contingent Offer Letter

KP Human Resources (HR) Recruitment sends the Contingent Offer Letter to the fellow upon offer acceptance. This letter contains employment contingencies, pay and benefit enrollment information. It also includes information on I-9 and the Supervision Agreement.

2.05 Welcome Letter

The "Welcome Letter" is sent by the training director. This letter describes the training year and what will be offered to the fellow in terms of training curriculum. The welcome letter does not include any payroll or benefits information. See Appendix J for Welcome Letters.

2.06 Program Minimum Requirements

1. Academic Standing

All fellows must have earned a master's degree in Social Work, Counseling, or Psychology.

2. Prior Training

All fellows must have prior experience delivering outpatient psychotherapeutic services as a social work or MFT pre-master's fellow, or mental health counselor within a mental health agency. By program start date, a first-time KP fellow may have completed no more than 2000 hours towards licensure at another fellowship(s).

3. Registration with California Board of Behavioral Sciences (BBS)

Before beginning training, each Social Work fellow must register with the BBS as an Associate Clinical Social Worker (ACSW) and every MFT fellow must register with the board as a Marriage and Family Therapist Fellow (AMFT).

4. Pre-requisite Training

Before they see patients individually, all fellows must have prior training in the following areas:

- Mental Status Evaluation
- Mandated Reporting (CPS, APS, etc.)
- Suicide/Homicide/Danger Assessment (Tarasoff, etc.)
- Ethics (i.e. confidentiality, professional boundaries, etc.)
- Psychopathology/Abnormal Psychology
- Theories and Practices of Psychotherapy

- Personality and Psychological Development
- Domestic Violence
- Chemical Dependency

The fellow and his/her training director will insure that these competencies are met before the fellow begins seeing patients. To document this, the fellow and training director will complete the Fellow Prerequisite Checklist (see Appendix A, Baseline Assessment of Fellow Competencies, for this form).

5. Policies of Training Program, NACSW, AAMFT, state, federal and KP: On the first day of training, fellows are directed on how to access, on-line, the training program's policies and procedures. Within their first week, fellows are directed in how to record their patient's informed consent in the patient's electronic chart (see Section 6, Patient Documentation, below, for more information on charting informed consent). Fellows are also directed how to access a copy of the NACSW or AAMFT Code of Ethics and are required to reference it during their tenure. Students are expected to understand and comply with all of these policies, in addition to those of KP, as well as state and federal laws (see Section 6 below, for more information on KP Policies)

2.07 Post-Master's Fellow Minimal Levels of Achievement

The minimal levels of achievement expected of ACSWs and AMFTs in order to successfully progress through and complete the program are identified and evaluated by the following:

2.07.01 Baseline Assessment of Fellow Competencies

Within the first week of the training program, the fellow and supervisor complete the Baseline Assessment of Fellow Competencies (see Appendix A). This assessment identifies the fellow's level of experience and training at entry to the training program, in all expected competency areas. The baseline assessment also identifies competency areas on which the fellow will focus during the year, which are described further in the Individual Training Contract (see next item, below and Appendix B) and is kept in the fellow's file.

2.07.02 Post-Master's Fellow Individual Training Contract

The individual training contract must be completed by the fellow within the first week of the training year. The reader is advised to review section IV of the contract, "Responsibilities and Expectations of Fellow," for details pertaining to fellow participation and achievement. (See Section 5.02, below, and Appendix B.)

2.07.03 Provision of Direct Services

One-half of the fellow's time (approximately 20 hours per week) is to be spent providing direct services to clientele through individual, group or family therapy.

2.07.04 Competencies Evaluation (CE)

The Competencies Evaluation (CE) is the post-master's training program's formal evaluation instrument for evaluating fellows' progress (see Appendix C). The CE is a measurement tool that the supervisor uses to rate the fellow on all behavioral anchors corresponding to program goals. The supervisor implements the CE periodically throughout the training year to ensure that the fellow meets the program's training goals. Each of the ratings on the CE indicates a specific stage of competency. By the end of the last training period the fellow must achieve ratings of "3" (Meets Expectations) or higher for **all** behavioral anchors, in order to receive a Certificate of

Completion. See procedures for each of the five ratings under Competencies Evaluation, below.

2.07.05 "Good Standing" Definition

A fellow is in good standing if he/she has ratings of "3" or more for all behavioral anchors on the CE or if he/she is in Focused Competency Guidance. A fellow is not in good standing when his/her primary supervisor initiates the Letter of Warning and/or Corrective Action procedures (see Appendix F for all of these processes).

2.07.06 Certificate and Letter of Completion

At the end of the training year, if the fellow attains a minimum score of "3" ("Meets Expectations") for each behavioral anchor on the fourth quarter CE, the fellow receives a Certificate and Letter of Completion. See Section 2.13, below, for more detailed information on these items.

2.08 Titles of Post-Master's Fellows

The title of a post-Master's fellow in Social Work is "Associate Clinical Social Worker" (ACSW). The title of a post-Master's fellow in Marriage and Family Therapy is "Associate Marriage and Family Therapist" (AMFT). Each fellow will clearly identify herself/himself as a fellow at the first meeting with any patient or potential patient (see Section 6, Patient Documentation, below, for more information on charting informed consent).

2.09 Rights of Post-Master's Fellows

1. To be informed of the expectations of the fellowship program
2. To be trained by professionals who behave in accordance with the ethical guidelines of their profession
3. To have individual training needs identified and documented using Baseline Assessment
4. To receive ongoing evaluation that is specific, respectful, and pertinent
5. To engage in evaluation of the training experience
6. To utilize due process to challenge program decisions
7. To utilize grievance procedures to resolve disputes not related to program decisions
8. To be granted privacy and respect of one's personal life including respect for one's uniqueness and differences

2.10 Post-Master's Fellow Program Survey

Each fellow evaluates the training program at the mid-year mark and at the end of the training year. The Fellow Program Survey (accessed by a dedicated and confidential link to the online SurveyMonkey service for anonymity) allows the individual fellow to assess their own experience of the program by the same parameters that are used in the CE (see above). The data from this survey provides valuable feedback about the training program and is used to make modifications to program procedures (see Appendix H for survey).

2.11 Post-Master's Fellow Grievance Procedures

If a fellow has any disagreement with his/her supervisor, another staff member, another fellow, or a matter of program policy, he/she will be encouraged to communicate openly with his/her supervisor about the issue(s). The procedures for this are outlined in the Post-Master's Fellow Grievance and Appeal Procedures (see Appendices D and E). See also, "Resources for Post-Master's Fellow Support," in Section 7, below.

The Post-Master's Fellow Grievance and Appeal procedures are not intended to be used by a fellow to appeal the results of a program decision such as a performance evaluation or any

remedial or corrective action (e.g., written letter of warning, probation, etc.). To appeal any of these program decisions, the fellow is directed to follow the Post-Master's Fellow Due Processes, as outlined in Appendix G.

2.12 Post-Master's Fellow Certificate and Letter of Completion

2.12.01 Certificate of Completion

At the end of the training year, if the fellow attains a minimum score of "3" ("Meets Expectations") for each behavioral anchor on the fourth quarter CE, the fellow receives a Certificate of Completion. The certificate states the total hours the fellow accrued under supervised training, for the training year.

2.12.02 Letter of Completion

In addition to a certificate, each qualifying fellow will receive a Letter of Completion at the end of their training year. This letter acknowledges the fellow's successful completion of their training year and certifies that all program requirements have been met and that the fellows is in good standing in the program. The letter also describes general duties that the fellow performed in their clinic and the team(s) rotations that the fellow trained on. A copy of the Letter of Completion is kept in the fellow's individual file (see Section 7 for more information on fellow files). A template for this letter is available in this manual as Appendix N.

2.13 Post-Master's Fellow Resignation

Fellows who voluntarily separate from the training program before the end of the training year are considered to have resigned and will not receive the Certificate or Letter of Completion. KPNC expects a fellow to give written notice which must be received by the Program Director at least thirty calendar days prior to the effective date of a resignation.

2.14 Regular Position Hiring

There is no expectation that once the training program is completed that Kaiser Permanente will hire a former fellow for a permanent position. Fellows are expected to apply and compete for open positions, just like any other qualified candidates.

3. EVALUATION, REMEDIATION, CORRECTIVE ACTION AND DUE PROCESS

The following policies apply to all ACSW and AMFT post-master's fellows participating in Kaiser Permanente Northern California Mental Health Training Programs.

3.01 Evaluation of Post-Master's Fellow

3.01.01 Baseline Assessment of Fellow Foundational and Functional Competencies

Within the first week of the training program, the fellow and primary supervisor will complete the Baseline Assessment of Fellow Foundational and Functional Competencies (Appendix A). This baseline assessment identifies the fellow's level of experience in all competency areas set forth in the Competencies Evaluation ("CE"; see below; see also Appendix C). It also identifies competency areas on which the fellow will focus during the year and provides the basis for the fellow's Individual Training Contract. The baseline assessment form is kept in the fellow's personnel file.

3.01.02 Competencies Evaluation (CE)

In order to ensure that fellows meet all of the program's goals and requirements, each fellow will be formally evaluated by his or her primary supervisor at least once per quarter (and more frequently, if a competency concern arises: see "Ongoing Evaluation," above) through the use of the Competencies Evaluation (CE). The CE is the training program's formal evaluation instrument for evaluating a fellow's progress. Primary supervisors use the CE to rate each fellow on all the behavioral anchors corresponding to program goals.

Each of the ratings on the CE indicates a specific level of competency. The primary supervisor is instructed to rate the fellow on all behavioral anchors for each of the program's required training goals. In addition, all supervisors are instructed to provide a narrative explanation for all ratings other than a "3" ("Meets Expectations"). A rating of "3" indicates that the fellow's performance meets the competency requirements for fellows at that stage of training.

Ratings of "1" ("Inadequate") or "2" ("Needs Improvement") on any behavioral anchor in the CE will trigger remedial and possibly corrective action (see below). If, by the end of the fourth quarter, the fellow has not achieved ratings of 3 or higher for all behavioral anchors, he/she will not receive a Certificate of Completion.

The primary supervisor will meet with the fellow to review completed CEs. The fellow may respond in writing to the CE. The completed CE and any response will be placed in the fellow's personnel file.

3.01.03 Ongoing Evaluation

Ongoing evaluation provides the fellow with information regarding his or her progress during regularly scheduled individual supervision sessions. If a concern arises regarding a fellow's behavior or performance, primary supervisors should provide such feedback during these sessions, enabling the fellow to focus attention on the specified area or areas of concern.

If at any point in the training year a fellow noticeably "Needs Improvement" or is "Inadequate" on any behavioral anchor, the primary supervisor will complete a CE (see below; see also Appendix C) on the fellow. The ratings from the CE may prompt the primary supervisor to initiate remedial and/or corrective action procedure(s) for the fellow (see below).

3.02 About Remedial and Corrective Actions

There are several levels and types of remedial and corrective actions that may be taken if a significant concern about a fellow's professional conduct, professional development or performance arises during their fellowship. The primary supervisor will consult with the training director to determine the severity of the concern(s) and the appropriate level and type of remediation. These actions are taken at the discretion of the training program and need not be sequential. As appropriate, remedial actions may be taken concurrently. Remedial and corrective action policies provide guidance when a particular action is taken, and the primary supervisor may select those action(s) described below that they deem appropriate under the circumstances. Additionally, the primary supervisor may refer to KP's Human Resources' policies, available on MyHR.

3.03 Remediation of Post-Master's Fellow

3.03.01 Focused Competency Guidance

This action is typically triggered when a fellow receives one or more rating(s) of "2" on the CE

(see above) for behavioral anchor(s)* other than those related but not limited to patient endangerment, professional misconduct, criminal conduct or substance abuse. (*However, should a fellow receive a "2" for any of these anchors during the third or fourth quarters of the training year, the supervisor may choose to initiate either the Letter of Warning or a corrective action procedure.)

The primary supervisor will meet with the fellow to discuss the competency issue(s) with the fellow and to recommend actions such as additional training and/or supervision in the targeted competency area(s) to rectify the behavior. The primary supervisor will also indicate a timeline for reassessment of the identified concerns. The supervisor will record this action, including the concerns and recommendations, in narrative form on the fellow's CE. See Appendix F for a full description of the Focused Competency Guidance procedure; see Appendix F.1 for Focused Competency Guidance Plan form.

3.03.02 Written Letter of Warning

This action is typically taken by the primary supervisor when a fellow: fails to achieve timely and/or sustained improvement after a focused competency review; and/or receives one or more rating(s) of "1" on the CE for behavioral anchor(s)* other than those related but not limited to patient endangerment, professional misconduct, criminal behavior or substance abuse. (*However, should a fellow receive a "1" for any of these anchors during the third or fourth quarters of the training year, the supervisor may choose to initiate a corrective action procedure.)

A letter of warning should contain: a description of the fellow's unsatisfactory behavior or performance, including: the targeted competency area(s)/behavioral anchors; necessary actions by the fellow to correct the unsatisfactory behavior or performance; a timeline for correcting the problem; and the action that will be taken if the problem is not corrected in the specified time frame. The letter of warning must also give the fellow notice that this action may impact whether the fellow's supervised hours will be found to be satisfactory.

The primary supervisor will provide the training director with a copy of the letter of warning and a copy will be kept in the fellow's file. Within the time frame outlined in the letter, the primary supervisor will re-evaluate the fellow using a CE. See Appendix F for full description of the Written Letter of Warning procedure; see Appendix F.2 for Letter of Warning form.

Schedule Modification

Schedule modification is a time-limited, closely supervised period of training, usually triggered by the initiation of Focused Competency Guidance or Written Letter of Warning. Several possible and concurrent courses of action may be included in modifying a schedule. These include: (a) increasing the amount of supervision, either with the same or other supervisors; (b) changing the format, emphasis and/or focus of supervision; (c) recommending personal therapy; (d) reducing the fellow's clinical or other workload; and (e) requiring specific academic course work. The training director will determine the length and nature of any period of schedule modification.

3.04 Corrective Action for Post-Master's Fellow

3.04.01 Probation

Fellows who are in jeopardy of not successfully completing the competency requirements of the training program or who have serious competency-related concerns that go beyond, or have not

been corrected after, a focused competency review or a letter of warning, may be placed on probation by the training director. The probationary period will include more closely scrutinized supervision conducted by the regular supervisors in consultation with the training director. The training director will monitor for a specified length of time the fellow's progress in changing or improving the behavior of concern.

Probation will be communicated to the fellow in writing and should include: a description of the reason(s) for the probation; any required schedule modification; the time frame for probation during which the problem is expected to be ameliorated; and the criteria for determining whether the problem has been adequately addressed. The fellow will also be notified that they are no longer considered in good standing with the training program. The fellow must also be advised that this probationary action may impact whether the fellow's supervised hours will be found to be satisfactory.

Failure to show substantial improvement in the identified competency areas within the specified time period may lead to an extension of the probationary period or to other actions, including dismissal or suspension. See Appendix F for full description of the Probation procedure.

3.04.02 Suspension

Suspension of a fellow is a dual decision process made between the training director and the departmental manager, with notice given to the regional training director. As a result of this decision, the fellow may be suspended from all or part of their usual and regular assignments in the training program. Suspension of a fellow can occur as the result of but not limited to a fellow's unprofessional or unethical behavior, for failing to comply with state law, federal law, Kaiser Permanente and/or the training program's policies and procedures, or when the removal of the fellow from the clinical service is required for the best interests of the fellow, patients, staff and/or the training program.

The training director's implementation of the Suspension procedure may, but need not be prompted by CE rating(s) of "1" (Inadequate) for anchor(s) related to these behaviors. The training director and primary supervisor will confirm the suspension in writing, stating the reason(s) for the suspension and its expected duration. As with probation, a fellow suspended from the post-master's fellowship program will be notified that they are no longer considered in good standing with the training program. Suspension may be coupled with or followed by other remedial actions and will continue as indicated unless and until overturned by appeal. A suspension may be paid or unpaid. See Appendix F for full description of the Suspension procedure.

3.04.03 Termination

Termination involves the permanent withdrawal of all privileges associated with the Kaiser Permanente Northern California Mental Health Training Programs. This action is invoked for any of the following reasons:

1. Violation of federal or state laws, including HIPAA and CMIA, and in which the imminent harm to a client either physically or psychologically is a major factor
2. Severe violation of KP policies, including training program policies, procedures or professional organization guidelines
3. Severe violation of the APA Ethical Principles and Code of Conduct
4. Unprofessional, unethical or other behavior that is otherwise considered

unacceptable by the training program

5. Attempts at remediation, after a reasonable period of time, have not rectified the competency problems
6. The fellow is unable to complete the program due to severe physical, mental or emotional illness
7. Serious or repeated act(s) or omission compromising acceptable standards of patient care.

In addition to the above, as employees of Kaiser Permanente, a fellow's employment may be terminated at any time, with or without cause, by the training director in conjunction with departmental management.

The decision to dismiss a fellow is not made lightly and is made by the training director and departmental manager, in consultation with the HR consultant. Termination of a fellow's employment will result in dismissal of the fellow in the training program. The fellow will be notified of the decision in writing. For a full description of the Termination procedure, see Appendix F.

3.05 Post-Master's Fellow Due Process

The primary purpose of due process is to provide a mechanism by which all decisions made by the training program regarding a fellow's *evaluation, remediation or corrective action, as well as a fellow's status* in the program, can be fairly reviewed. Due process is a mechanism by which a fellow may challenge any decisions made by the program. **Note:** *This policy does not apply to nor can it be utilized by a fellow who is terminated as the result of an HR decision. In those situations, the fellow would follow the Kaiser Permanente HR policy.*

Due process procedures are outlined in full, in Appendix G. The training program's procedure for Review of Fellow Appeal is also located in Appendix G.

If a fellow has any disagreement with their supervisor, another staff member, a fellow, or a matter of program policy, they are directed to follow the Post-Master's Fellow Grievance Procedures, as outlined in Appendices D and E.

4. PROGRAM CURRICULUM

4.01 Training Activities and Service Delivery

The fellow's training schedule is organized in such a way that training activities and service delivery are equally apportioned. Training activities include but are not limited to individual and group supervision, program evaluation or research project(s) and presentation of outcomes, other scholarly presentations, attendance at local and regional training seminars, and at local grand rounds.

One-half of the fellow's time (approximately 20 hours per week) is spent providing direct services to clientele. Service delivery may include but is not limited to intake evaluations, patient psychotherapy appointments and co-facilitation of treatment groups.

All post-Master's fellows receive two (2) hours of individual supervision and two (2) hours of group supervision, each week. They also participate in two (2) hours of didactic trainings each week. See Sections 5.05 thru 5.08, below, for more information about supervision.

4.02 Community Partnership Projects

Each fellow is required to complete a minimum of 32 community project hours during their training year and are evaluated on these activities by their supervisor, utilizing the Competencies Evaluation. More information about these projects is available from their training directors.

4.03 Group Facilitation

Post-Master's fellows may not facilitate a group without a permanent staff employee present. The only exception to this may be made with regard to Intensive Outpatient Program (IOP) groups, but only after the following conditions have been met:

1. Fellow's extensive observation of staff members leading groups
2. Staff member's extensive observation of fellow co-leading groups
3. The discretion of the training director or fellow's supervisor as to the fellow's competence to run an IOP group on their own

4.04 Program Evaluation/Research Project

Fellows may be required to or elect to complete a program evaluation or research project during the training year. For this process, the fellow is directed to following these guidelines:

- The program evaluation/research project will be selected based upon the fellow's interests and the department's needs.
- The program evaluation/research project can be focused upon: the efficacy of a group; intake procedures; new programming; or a treatment modality.
- The fellow can participate in on-going regional or departmental studies such as Outcome Monitoring or Division of Research studies to fulfill this requirement.
- At the end of the training year, the fellow may give a presentation on the results of the study to the department or the team, whichever is more appropriate.
- Please note: All research and intellectual property generated in the course of employment at Kaiser Permanente are the property of Kaiser Permanente (5.1.3 of KP Principles of Responsibility).

4.05 Consortium Training Seminars

The post-master's fellow is expected to attend weekly didactic seminars held at the consortium level. Attendance should be at 90% minimum.

4.06 Regional Training Seminars

The post-master's fellow is expected to attend regional training seminars, held live at Oakland. Seminar topics include ethics and law, and supervision, among other selected topics. For schedule and information on these trainings, go to

http://info.kaiserpermanente.org/html/psychtraining/about_trainings_KPNC_MH_employees.html

5. SUPERVISION OF FELLOW

5.01 Baseline Assessment of Post-Master's Fellow Competencies

Within the first week of the training program, the fellow and supervisor complete the Baseline Assessment (see Section 3.01, above, for more information; see also Appendix A).

5.02 Post-Master's Fellow Individual Training Contract

Within the first week of the training year, each fellow collaborates with his/her primary supervisor in developing an Individual Training Contract (see Appendix B). This contract builds upon information gleaned by the Baseline Assessment (see above), with the fellow and his/her supervisor developing training plans to address any competency areas identified by the assessment as requiring additional training focus. This collaborative process is flexible and goals can be revised at quarterly intervals. In addition, the fellow uses this form to list any competency areas on which he/she wishes to obtain extra supervision during the year. The training contract also identifies the fellow's primary and secondary supervisors, and lists fellows' responsibilities and expectations for the training year. By signing this contract, the fellow acknowledges that he/she has a copy of the Policy and Procedure manual and understands the basic requirements of the program and the competencies expected of him/her (see section 3.01, above; see also Appendix B).

5.03 Post-Master's Fellow Competencies Evaluation

On a quarterly basis, supervisors will evaluate fellows using the Competencies Evaluation form (see section 3.01, above; see also Appendix C).

5.04 Supervision of Post-Master's Fellow

All post-Master's fellows receive two (2) hours of individual supervision and two (2) hours of group supervision, each week. See Sections 5.05 thru 5.08, below, for more information about supervision.

5.05 Supervision Requirements for Post-Master's Fellowship Programs

The California Board of Behavioral Sciences requires that all post-Master's fellowship programs:

- Provide 2 hours of individual supervision for every 20 hours of fellow service provision
- Fellow supervisors (primary supervisors only) complete, sign and date the BBS Responsibility Statement for Supervisors of ACSWs or AMFTs form no later than the first day of the training program. See below, for more information.
- Supervisors keep fellow files for seven years
- Supervisors be current with BBS supervisor training requirements (see below, for more information)
- In addition, fellows are required to attend 2 hours of group supervision and two hours of didactic training, each week.

5.06 Responsibility Statements for Supervisors

The BBS Responsibility Statement for Supervisors of ACSWs or AMFTs form must be completed, signed, and dated by the primary supervisor no later than the first day of the training program. The supervisor then gives the original document to the ACSW or AMFT, who retains it, to be submitted later, when fellow applies for licensure. To print a copy of the BBS Responsibility Statement form, go to:

<http://www.bbs.ca.gov/pdf/forms/lcs/lcrespon.pdf> (for ACSW).

<http://www.bbs.ca.gov/pdf/forms/mft/mfrespon.pdf> (for AMFT).

5.07 Supervisor Requirements – Supervision of ACSWs

The KP Social Work training programs comply with the supervision guidelines as stipulated by the California BBS <http://www.bbs.ca.gov/>. The following information is taken directly from the BBS website and refers to sections 1870-1874 of Title 16 of the California Code of Regulations.

Licensed Clinical Social Worker (LCSW) Supervisors of ACSWs:

In order for an LCSW supervisor to supervise an ACSW fellow, the supervisor must:

- Possess a current and valid California license
- Complete a minimum of fifteen (15) contact hours of supervision training
- Have practiced psychotherapy or directly supervised ACSWs or AMFTs or trainees who

perform psychotherapy as part of their clinical practice in two of the past five years immediately preceding the commencement of supervision.

Licensed Marriage & Family Therapist (LMFT) Supervisors of ACSWs:

A note on LMFT supervision of ACSW: The BBS stipulates that an ACSW fellow needs to complete a total of 3200 hours for licensure, and that a minimum of 1700 of these hours must be supervised by an LCSW. The remainder of the hours must be supervised by a licensed mental health professional acceptable to the board, and LMFTs qualify for this category. Please refer to 4996.23 in BBS Statutes and Regulations for more information.

In order for an LMFT supervisor to supervise an ACSW fellow, the supervisor must:

- Possess a current and valid California license
- Complete a minimum of fifteen (15) contact hours of supervision training
- Have practiced psychotherapy or directly supervised associates or marriage and family therapist fellows or trainees who perform psychotherapy as part of their clinical practice in two of the past five years immediately preceding the commencement of supervision

5.08 Supervisor Requirements – Supervision of AMFTs

The KP Marriage and Family Therapy training programs comply with the supervision guidelines as stipulated by the California Board of Behavioral Sciences (BBS) <http://www.bbs.ca.gov/>. The following information is taken directly from the BBS website and refers to sections 1833 – of Title 16 of the California Code of Regulations.

Licensed Clinical Social Worker (LCSW) Supervisors of AMFTs:

In order for an LCSW supervisor to supervise an AMFT, the supervisor must:

- Possess a current and valid California license for at least two years prior to the commencement of supervision
- complete a 6-hour supervision training within the two-year period immediately preceding supervision and every renewal period when supervising, *NOTE: If the supervisor has never taken this course, it must be taken within 60 days of commencement of supervision*
- Have practiced psychotherapy or directly supervised ACSWs or AMFTs or trainees who perform psychotherapy as part of their clinical practice in two of the past five years immediately preceding the commencement of supervision.

Licensed Marriage & Family Therapist (LMFT) Supervisors of AMFTs:

In order for an LMFT supervisor to supervise an AMFT, the supervisor must:

- Possess a current and valid California license for at least two years prior to the commencement of supervision
- complete a 6-hour supervision training within the two-year period immediately preceding supervision and every renewal period when supervising, *NOTE: If the supervisor has never taken this course, it must be taken within 60 days of commencement of supervision*

- Have practiced psychotherapy or directly supervised associates or marriage and family therapist fellows or trainees who perform psychotherapy as part of their clinical practice in two of the past five years immediately preceding the commencement of supervision

5.09 Post-Master's Fellow Letter of Completion and Certificate

(This section also appears as Section 2.12, above.)

To receive a Certificate and Letter of Completion at the end of the training year, the fellow must attain a minimum score of "3" ("Meets Expectations") for each behavioral anchor on the CE by the fourth quarter of the training year.

5.09.01 Letter of Completion

In addition to a Certificate of Completion, each qualifying fellow receives a Letter of Completion at the end of their training year. This letter acknowledges the fellow's successful completion of their supervised hours and certifies that all program requirements have been met and the fellow is in good standing in the program. The letter also describes general duties that the fellow performed in their clinic and the team(s) rotations that the fellow trained on. A copy of the Letter of Completion is kept in the fellow's individual file (see Section 7 for more information on fellow files). A template for this letter is available in this manual as Appendix N.

5.09.02 Denial of Certificate/Letter of Completion

A fellow will not receive a Certificate or Letter of Completion if any/all of the following pertain:

- They are dismissed from the program
- They fail to receive a minimum score of "3" ("Meets Expectations") for each behavioral anchor on the CE by the end of the fourth quarter of training

The site training director will notify the fellow as soon as reasonably practicable of the denial of the Certificate of Completion.

6. PROGRAM ADMINISTRATION

6.01 California Board of Behavioral Sciences (BBS)

The ACSW and AMFT post-Masters fellowship programs comply with the supervision guidelines as stipulated by the BBS. For more information, and to download forms, etc., please go to:

<http://www.bbs.ca.gov/>

6.02 Administrative Hours for Training Faculty – Regional Standards

The region sets the following minimum standards for administrative time allotted to the training faculty:

- All primary supervisors in the post-Master's fellowship programs are allocated up to one hour per week when supervising one fellow and up to two hours per week when supervising more than one fellow, for chart review and closing of notes. These hours are in addition to the actual face-to-face individual supervision that the supervisor provides.
- All secondary supervisors in the post-Master's fellowship programs are allocated one half hour per week of administrative time for chart review and closing of notes. This time is in addition to the actual face-to-face individual supervision that the supervisor provides.
- All training directors are allotted three hours per week of administrative time, for their programs.

6.03 Training Staff Responsibilities

- Relate to fellows in a collegial and professional manner that is conducive to a positive learning environment
- Respect individual differences among fellows, including cultural or individual diversity issues
- Model ethical, professional behavior including recognition of and respect for differences among patients and colleagues
- Model commitment to the mission of KP
- Model commitment to the mission and training model of the Post-Master's fellowship programs
- Maintain agreed upon times for supervision, consultation, and co-therapy experiences
- Clearly communicate expectations of fellows and give appropriate timely feedback regarding their progress
- Consult regularly with other professional staff who may have contact with the fellows and provide knowledge about their competencies and overall performance
- Contact the training director when questions or concerns arise regarding fellows' requirements
- Keep abreast of any changes in the program or agency that may impact the fellows and communicate these in a direct, timely fashion to reduce any inconvenience to the fellows
- Follow all outlined grievance policies and due process if problems arise concerning fellows

6.04 Site Training Directors

6.04.01 Site Training Director Qualifications

- Must work a minimum of 32 hours per week and be on site at least 4 days per week
- Minimum five (5) years of experience as a Licensed Clinical Social Worker, Marriage & Family Therapist, or Licensed Professional Clinical Counselor preferred
- Minimum of two (2) years of experience as a primary supervisor preferred
- Member of professional organization (e.g., NACSW, CSCSW, AAMFT, CAMFT)
- Evidence of effective, collaborative working relationships with fellows, training faculty, clinic management teams, and KP Regional administration
- Demonstrated abilities in leadership
- Commitment to ongoing learning and innovation in mental health treatment
- Demonstrated abilities in teaching and scholarship preferred (i.e., publications, presentations, course instruction, workshops, fellow seminars, etc.)
- Regional Mental Health Training Director conducts interviews and makes selection of training director

6.04.02 Site Training Director Responsibilities

- Reports to their local Consortium Training Director
- Attends training program meetings, including regional meetings in Oakland as well as teleconferenced meetings
- Coordinates and directs the training supervisors
- Ensures that program policies and procedures are followed
- Ensures support and resources for fellows and supervisors
- Ensures that Board of Behavioral Sciences regulations and guidelines are followed
- Organizes the interview and selection process for new candidates
- Ensures timely evaluations of fellows, utilizing the Competencies Evaluation
- Ensures timely evaluations of program and supervisors, utilizing the Post-Master's Fellow

Program Survey and Post-Master's Fellow Evaluation of Supervisor

- Implements modifications per feedback from Program Surveys
- Participates with department managers in decision-making on issues concerning fellows' schedules, placements on teams and the candidate interviewing process

6.05 Consortium Training Directors

6.05.01 Consortium Training Director Qualifications

- Must work a minimum of 32 hours per week and be on site at least 4 days per week
- Minimum five (5) years of experience as a Licensed Clinical Social Worker or Marriage & Family Therapist; If candidate has relevant outside experience, an exception may be considered.
- Minimum of one (1) year of experience as a site training director
- Minimum of two (2) years of experience as a primary supervisor
- Member of professional organization (e.g., NACSW, CSCSW, AAMFT, CAMFT)
- Demonstrated abilities in leadership
- Evidence of effective, collaborative working relationships with fellows, training faculty, consortium clinics' management teams, and KP Regional administration
- Commitment to ongoing learning and innovation in mental health treatment
- Demonstrated abilities in teaching and scholarship preferred (i.e., publications, presentations, course instruction, workshops, fellow seminars, etc.)
- Regional Mental Health Training Director conducts interviews and makes selection of consortium training director

6.05.02 Consortium Training Director Responsibilities

- Reports to the Northern California Regional Training Director
- Provides leadership for the consortium's site training directors and offers feedback on their performance, as necessary
- Attends all training program meetings, including regional meetings in Oakland, as well as teleconferenced meetings
- Meets with site training directors on a monthly basis to review consortium functioning
- Works with supervisory teams to ensure that program policies and procedures are followed and the highest level of training is provided to the fellows
- Completes annual program reviews in a timely manner
- Is responsible for overseeing consortium didactic trainings to ensure that curriculum is informed by science and includes a solid focus on diversity issues
- Verifies that all fellows' Competencies Evaluations, Program Surveys and other measures are completed in a timely manner
- Reviews fellows' evaluations to confirm their satisfactory progress and ascertain the program's overall functioning
- Reviews fellows' program surveys to determine needed changes
- Implements changes as needed

6.06 Administrative Meetings

The following training staff meetings occur regularly throughout the training year:

- Weekly
 - Informal meetings among site training directors and supervisors.

- Monthly

- Formal supervisor meetings (minutes are recorded) among site training directors and supervisors (may be referred to as "supervisor meetings"). During these meetings, the supervisors and site training director discuss the progress of the fellows, curriculum, and develop plans as well as make decisions related to the administration of the program.
- Formal consortium meetings (minutes are recorded) among site training directors and consortium director. Supervisors may be invited to attend. Fellows may also attend and participate in the process as full contributing members. Decisions are made about curriculum, administration of the program, including recruitment, seminars, program planning, and accreditation.

- Minimum Two Times per Year

- Regional meetings of site training directors bring together site training directors from the Northern California region to meet with the regional site training director to discuss new program developments, curriculum and APA issues.

6.07 Training Supervisor Dispute Resolution Procedure

If a training supervisor has any disagreement with another supervisor, another training faculty member, a fellow or a matter of program policy, or wishes to dispute a corrective action or evaluation, concerning an issue related to the program, he/she will be encouraged to communicate openly with his/her training director about the issue. The procedure for this is outlined in Appendix I.

If the issue pertains to the department but not to the training program, he/she is encouraged to follow the KP policy, located in MyHR/Workspace/Working at KP.

6.08 Training Supervisor Dispute Resolution Procedure

If a new site/department would like to develop a training program, or an existing site would like to expand their program, this form must be completed and submitted to the Regional Training Director. See Appendix P for this form.

7. FELLOW AND INTERVIEWEE FILES

7.01 Post-Master's Fellow Individual Files

- Fellows' records include the information noted below in Fellow Individual File Contents. All letters and documents are to be reviewed by the site training director prior to filing.
- For each fellow, the site training director establishes and maintains a record/file. These files are secure and confidential.
- Fellow records are stored and archived in the local consortium office for the duration of the program's current accreditation cycle.
- At the end of every training year, each fellow's 4th Quarter Competency Evaluation, now identified by the fellow's employee number, is faxed to the HRSC for inclusion into their KP personnel file.
- After five years, the fellows' file is sent to KP's HR storage center in Livermore, with instructions for the center to destroy it after 5 years, with the following exception: all records pertaining to a fellow dispute, grievance, corrective action or due process should be retained indefinitely (see also 7.02, below).

7.02 Post-Master's Fellow Individual File Format

Fellow files can be formatted in hard copy or on e-file. For hard copies: All fellow files may be scanned into e-files for retention in consortium e-records before being sent to HR storage in Livermore.

7.03 Post-Master's Fellow Individual File Contents

All letters and documents are to be reviewed by the site training director prior to filing. A fellow's file should include the following documents:

- Letter of Intent
- Resume
- Letters of Recommendation
- Supervision Agreement (BBS form)
- Baseline Assessment
- Individual Training Contract
- Competencies Evaluation (CE)
- Verification of Experience (BBS form)
- Copy of Letter of Completion
- Documentation of any remediation or corrective actions, including the conclusions of such actions
- Any correspondence pertaining to the fellow

7.04 Interviewer notes

- All notes made by interviewers during the selection process must not be kept in the fellow's individual file. These notes must be retained in a file separate from the fellow's individual file.
- KP Human Resources/Recruitment stipulates that interviewer notes made for all candidates must be retained for four years.

7.05 Reviews/Requests Regarding Fellow Individual Files

Upon advance request, fellows may inspect their local program files in the presence of the site training director or a designated representative. The fellow may also request a correction or deletion of a record by submitting a request to the site training director who, in consultation with Human Resources, will notify the fellow whether his/her request has been granted or denied. The training director will work with their HR consultant and follow the consultant's recommendations if the fellow expresses any dissatisfaction with their record.

7.06 Retention of Interviewees' Application Materials and Interviewers' Notes

KP Human Resources Recruitment policy requires training directors to retain all non-selected* interviewees' application materials, along with all corresponding interview panel members' interview notes, for a period of four years following the interviews. (*For policy addressing retention of application materials from *selected* interviewees, see Post-Master Fellow Personnel Files, above.)

7.07 Retention of Materials Received from Applicants Who Were Not Interviewed

Application materials from non-interviewed applicants need not be retained for any period.

8. PATIENT DOCUMENTATION

8.01 Medical/Legal Services

8.01.01 Provision of Treatment Services by an ACSW/AMFT and Patient Consent: Before a fellow provides mental health services to a patient, the fellow must inform the patient or patient's guardian of the fellow's status, last day of training, and name of supervisor. The fellow must then document in the patient's electronic chart that the patient received the information and gave (or refused) their consent to be seen by a fellow. The "dot phrase" to be used to note this in the patient's electronic chart is ".traineeinformedconsent". This dot phrase signifies that "*The pt. was informed that the undersigned (***) is a trainee working under the supervision of *** and other licensed staff members in the Dept. of ***, Kaiser Permanente Medical Group, Inc. The patient agreed to receive services by the undersigned.*"

In addition to the above electronic charting, the fellow may complete the information on the "Notice of Provision of Psychological Treatment Services by an ACSW/AMFT" form, and provide the form to the patient and/or guardian, for their reference (see Appendices C and D).

Patients may refuse therapy. In such cases, the fellow must document the patient's refusal in the patient's electronic chart, noting that treatment was explained and the consequences of refusal were discussed with the patient.

8.01.02 Fellow Notification of Supervisor Regarding Treatment of Minor Aged 12-17 (AB1808) Pursuant to California AB 1808, as an unlicensed provider, a post-Master's fellow is required to notify their supervisor before or after any visit where the fellow treats a minor, aged 12-17 years, individually or in a group session, regardless of whether the minor is accompanied by a parent. This notification must occur within 24 hours, in writing, unless the fellow believes the minor to be a danger to self or others. If danger is present, the fellow's notification of their supervisor must occur by word of mouth **during session or immediately after session**. Local management will determine appropriate workflow for ensuring that this requirement is met.

8.01.03 Signing Legal Documents: Fellows may not sign wills, power of attorney forms or other legal documents as witnesses for patients or their families. A request to act as witness to a document should be courteously, but firmly, refused. Fellows may not sign forms, such as state disability forms, which require the signature of a licensed psychologist or psychiatrist.

8.01.04 Responding to Legal Documents

Receipt of a subpoena, summons to a court, request to examine a patient's medical record or otherwise obtain information from it, or a letter from a lawyer concerning a patient should be reported immediately to the training director and the fellow's supervisor.

8.01.05 Contact with Attorneys/Other Individuals

Patient information is confidential and protected by law. Patient or chart information cannot be released to anyone without the consent from the patient or as authorized by law. Fellows should not discuss patient care matters with investigators or attorneys, without notice to and in the presence of attorneys representing Kaiser Permanente. The Medical-Legal Department is available for further information.

8.01.06 Patient Rights and Responsibilities

Patients' rights and responsibilities, as outlined in the Kaiser Permanente Local Policies and Procedures Manual, shall be observed at all times.

8.01.07 Patient Safety: Patient's safety is of utmost concern to fellows and all other staff. For more information, go to: <http://kpnet.kp.org:81/california/qmrs/ps/>

8.02 Mental Health Records

8.02.01 Patient On-line Charting in HealthConnect

Mental Health records are confidential. Viewing the medical records of any patients other than those treated by the fellow is strictly prohibited.

Mental health records must be entered in the online HealthConnect system. The fellow is responsible for attending or receiving training in the use of online charting. The online charting used must meet department standards. Only approved abbreviations and symbols may be used.

The patient's progress is to be documented at each contact. All notes should be dated. In general, elements of the progress notes include:

1. Diagnosis(es)
2. Plan for treatment
3. Need for diagnostic or therapeutic services
4. Strategies employed
5. Progress of the patient
6. MSE
7. POQ or AOQ
8. Medication compliance
9. Comprehensive suicidal and homicidal assessments

The record should be sufficiently detailed and organized in accordance to departmental standards so that the responsible clinicians provide effective, continuing care to the patient and can, if necessary, at a later date, determine what the patient's condition was at a specific time and can review the diagnostic and therapeutic intervention. The changes in condition of the patient and results of treatment need to be documented. The record should also enable another clinician to assume care of the patient at any time.

8.02.02 Closing of Notes

All fellows should enter intake and progress notes into HealthConnect immediately after each patient contact session and forward the notes directly to fellow's supervisor. Supervisor will review fellow's notes and make any needed recommendations to fellow. If necessary, fellow will modify notes. After approving notes, supervisor will enter the CPT code and close the notes. Supervisor should close the notes immediately upon approval and no later than 2 business days from the patient contact date.

8.03 California Confidentiality of Medical Information Act and the Health Insurance Portability and Accountability Act of 1996 (HIPAA)

All fellows must abide by standards set forth by the California Confidentiality of Medical Information Act and by HIPAA. See Obligations Regarding Confidentiality CA 1.09, located

under HR Policies in MyHR for more information. For an outline of these standards, go to http://kpnet.kp.org/national/compliance/program/privacy_security.html

9. POST-MASTER'S FELLOW HOURS, BENEFITS AND SERVICES

9.01 Scheduling of Hours of Work

Fellows are scheduled to work 40 hours per week. In creating a training schedule for the fellow, the training director works closely with the department managers and the fellow. Requirements vary between departments, and may include some evening and/or weekend hours. For example, CDS training programs may include weekend work.

One-half of the fellow's time (approximately 20-24 hours per week) is spent providing direct services to clientele through individual, group or family therapy. The fellow spends the remaining hours engaged in training activities, which include but are not limited to weekly supervision (both individual and group), and didactic seminars. Training activities also include an outward focus: all mental health trainees are required to complete a minimum of 32 hours of work in their local communities.

9.02 Overtime Pay Policy

As a non-union, non-exempt KP employee, a fellow who works more than 8 hours in a day must be paid an overtime wage equal to time and one-half of their base hourly pay, for the additional time worked. However, the mental health training programs' annual budget does not provide for overtime pay. Therefore, fellows and training faculty are requested to be diligent in monitoring fellows' work time so that they do not accrue overtime hours.

9.03 Post-Master's Fellow Benefits

For detailed information on all fellow benefits, please review "Benefits in Brief" by clicking on "Benefits Overview" located on the regional mental health training programs' homepage http://info.kaiserpermanente.org/html/psychtraining/trainee_salary_benefits.html

9.03.01 Fellow Paid Time Off (PTO)

Each fellow receives the equivalent of 2 weeks' pay (80 hours) for time off, for the training year. The full 80 hours is front-loaded into fellows' TIME accounts at the beginning of the training year; it is not accrued throughout the year. Any PTO hours remaining in the fellow's account at the end of the training year is either paid out to the fellow or is rolled over into their new account, depending on the disposition of fellow after the training year.

9.03.02 Fellow Exam Time Off (RES)

Each fellow is eligible to receive RES coded time off for the whole day when they actually sit for their licensing exam(s). This pertains to both the LCSW-SWLE and LCSW-SWCE exams for ACSWs, or to both the MFT-LE and the MFT-CE exams for AMFTs.

9.04 Tuition Reimbursement

After a 90-day* waiting period, all fellows are eligible to apply for tuition reimbursement for approved courses which offer credits/units/hours. **An exception will be made for license-prep courses, workshops or materials, in which case the trainee's eligibility date is only 30 days after their start date.* Please refer to the latest reimbursement information on MyHR. In addition, Appendix M in this manual has detailed information on reimbursable courses and how fellow can apply for this benefit.

9.05 Resources for Fellow Support

Please refer to MyHR for employee resources.

9.06 Professional Liability Insurance

All KP employees of any kind are covered for professional liability as long as they act within the course and scope of their license and training. As unlicensed Kaiser Permanente employees who are supervised by licensed providers in an officially designated training program, fellows are covered for professional liability as long as they act within the course and scope of their supervision and training.

9.07 Administrative Support, Office and On-line Resources

Clerical & technical support for the employees is provided by the departments of Psychiatry and Chemical Dependency at each site. As employees, fellows are eligible to receive this assistance. The individual departments offer fellows the use of translation services, copy machines, secretarial services, phones, computers, and technical support as needed. Legal support is provided by KP's Regional and the local Medical-Legal teams. In addition, full-time administrative support is provided regionally and is available to assist all fellows and training supervisors.

Each of the medical centers has its own clerical and technical support staff to assist the fellows during their tenure at the medical center or the satellite. This support staff can be utilized to help schedule patients, handle phone messages, track disability paper work, and provide any other additional support that may be needed.

Every fellow has a computer station that provides a full range of services, including internet, electronic periodicals, KP's own intranet, Medline, and Evidence-Based Treatment materials, as well as other internal and external resource materials. KP's information technology support is available to all fellows through a telephone help line. All medical centers access the same database for online charting (HealthConnect). Through HealthConnect, fellows can access hospital records and perform online charting, as well as respond to consultation requests electronically. Other computer programs such as word processing and slide-show presentation programs, as well as a variety of online databases, are readily available. The online databases include Micromedix, an internal medical database search engine, and evidence-based practice manuals for anxiety, depression, eating disorders, domestic violence, and other problem areas. In addition, an online clinical library is easily accessible, and the medical center library is available to fellows at each site.

At all training sites, fellows are provided with offices to meet with patients, receive and answer phone messages, and schedule patients. Larger rooms are available to provide group or family therapy. Fellows working with children have access to play rooms or offices equipped with toys and games. Additional training resources (which vary by site) include one-way mirrors, video equipment, and audio tape recorders. Consent forms regarding the photographing of fellows and patients can be obtained from the bottom of the following web page:

<https://wiki.kp.org/wiki/display/CMI/Video+Ethnography+Tool+Kit>

Each medical center campus has many departments, which include conference rooms, cafeterias and exercise rooms. Conference rooms are also available to fellows at the regional center. Each medical center has its own medical library, and librarians routinely conduct literature reviews and arrange for inter-library loans, if needed. The regional library includes access to

KP’s inter-library loan services which connects to all the major university and research institution libraries, domestic and foreign.

10. KAISER PERMANENTE HUMAN RESOURCE POLICIES

10.01 Finding Human Resources Policies on MyHR and Contacting HRSC

To locate a KP Human Resources policy, log on to MyHR. A link to the policies is located on the home page under Top Picks/Employees/Policies. Another link is located under Workspace/Working at KP/Policies. To speak to someone directly about any KP policy, contact the Human Resources Services Center (HRSC), at 1-877-457-4772.

The following are a sampling of KP’s HR policies that **pertain to fellows**. These and other policies are listed on MyHR and/or in KP’s Principles of Responsibility:

- Bereavement Leave
- Jury Duty
- Maternity/Paternity Leave
- Pregnancy Disability Leave
- Family Medical Leave
- Employee Assistance Program
- Harassment-Free Work Environment
- Equal Employment Opportunity
- Accommodation for Disabilities
- Drug and Substance Abuse

10.02 Primary HR Types: Codes for Mental Health Trainees

The following chart shows the correct coding for Primary HR Types for KPNC Mental Health Trainees. It is important that trainees are coded correctly, as the codes determine whether KP members are charged co-pays for their treatment by trainees.

MHTP Trainee Job Code	MHTP Trainee Job Title [brackets show old titles]	Primary HR Type Code	Primary HR Type “Job Title”
----	Psychology Practicum Student	BP	Psychologist Trainee
025420	Psychology Doctoral Intern	BP	Psychologist Trainee
025430	Psychology Postdoctoral Resident	BP	Psychologist Trainee
025471	Neuropsychology Postdoctoral Resident	BP	Psychologist Trainee
025472	Associate Post Masters MH Fellow [Associate Clinical Social Worker (ACSW)]	CI	Psychiatric Social Worker Trainee
025472	Associate Post Masters MH Fellow [Marriage & Family Therapist Intern (MFTI)]	DG	Marriage & Family Therapist Trainee

10.03 Non-Discrimination Policy

The post-Master’s Fellowship programs are an integral part of KP. Fellowships are based on merit, qualification, and competence. Training practices are not unlawfully influenced or affected by a person’s ethnicity, religion, color, race, national origin, ancestry, physical or mental disability, veteran’s status, medical condition, marital status, age, gender or sexual identity. Additionally, it is the policy of KP to provide a work environment free of sexual and other forms of unlawful harassment. This policy governs all employment, including hiring, compensation and benefits, assignment, discharge and all other terms and conditions of fellowship.

11. WEBSITE

Our website includes but is not limited to:

- a. Listings by individual site
- b. Policy and Procedure Manual
- c. Regional Training Seminar schedule
- d. Links to related websites

Northern California Mental Health Training Programs website:

<http://kp.org/psychtraining>

Northern California Post-Master's Degree Fellowship Programs web pages:

http://info.kaiserpermanente.org/html/psychtraining/social_work_mft_post.html

Appendix A

KAISER PERMANENTE NORTHERN CALIFORNIA POST-MASTER'S FELLOWSHIP PROGRAMS

BASELINE ASSESSMENT OF FOUNDATIONAL AND FUNCTIONAL COMPETENCIES ACSW/AMFT FELLOW

Training Year: _____ Date: _____

Training Site: _____ Team: _____

Fellow Name: _____

Primary Supervisor Name: _____

PART I: PREREQUISITES CHECKLIST

Before any fellow can see patients individually, he/she must have prior training in the areas listed in the Prerequisites Checklist, below. The fellow and his/her training director will insure that these competencies are met before the fellow begins seeing patients. To document this, the fellow and training director will complete the list located below, and keep the original form on file.

Training Area	Date(s) of Training	Location of Training
1. Mental Status Evaluation		
2. Mandated Reporting (CPS, APS, etc.)		
3. Suicide/Homicide/Danger Assessment (Tarasoff, etc.)		
4. Ethics (i.e. confidentiality, HIPAA, professional boundaries, etc.)		
5. Psychopathology, Abnormal Psychology		
6. Theories and Practices of Psychotherapy		
7. Personality and Psychological Development		
8. Domestic Violence		
9. Chemical Dependency		

PART II: FELLOW'S COMPETENCY BASELINES

- 1 = No Experience:** Fellow has no experience in this competency area: needs focused training in this competency area to meet expectations of an entry-level ACSW/AMFT fellow
- 2 = Minimal Experience:** Fellow has minimal experience in this competency area: needs focused training in this competency area to meet expectations of an entry-level ACSW/AMFT fellow
- 3 = Meets Expectations:** Fellow's experience meets expectations of an entry-level ACSW/AMFT fellow
- 4 = Exceeds Expectations:** Fellow's experience exceeds expectations of an entry-level ACSW/AMFT fellow

FOUNDATIONAL COMPETENCIES				
GOAL 1: PROFESSIONALISM				
A) Professional identity				
Essential Component:				
<ul style="list-style-type: none"> ■ Understands professional values; honesty, personal responsibility ■ Understands self as professional, "thinking like a mental health professional" 				
Behavioral Anchors:				Baseline Ratings
<ul style="list-style-type: none"> ● Demonstrates honesty and takes responsibility for own actions 				1 2 3 4
<ul style="list-style-type: none"> ● Demonstrates knowledge of practicing within one's competence 				1 2 3 4
<ul style="list-style-type: none"> ● Understands the need to take personal responsibility for ongoing learning and training opportunities 				1 2 3 4
B) Department				
Essential Component:				
<ul style="list-style-type: none"> ■ Understands how to conduct oneself in a professional manner 				
Behavioral Anchors:				
<ul style="list-style-type: none"> ● Demonstrates appropriate personal hygiene and attire 				1 2 3 4
<ul style="list-style-type: none"> ● Distinguishes between appropriate and inappropriate language and demeanor in professional contexts 				1 2 3 4
C) Accountability				
Essential Component:				
<ul style="list-style-type: none"> ■ Acceptance of personal responsibility across settings and contexts 				
Behavioral Anchors:				
<ul style="list-style-type: none"> ● Completes documentation on time 				1 2 3 4
<ul style="list-style-type: none"> ● Plans and organizes own workload 				1 2 3 4

GOAL 2: REFLECTIVE PRACTICE/SELF-ASSESSMENT				
A) Reflective practice				
Essential Component:				
<ul style="list-style-type: none"> ■ Basic mindfulness and self-awareness; basic reflectivity regarding professional practice (reflection-on-action) 				
Behavioral Anchors:				
Displays:				
<ul style="list-style-type: none"> ● Critical thinking/organized reasoning/problem-solving skills 				1 2 3 4
<ul style="list-style-type: none"> ● Intellectual curiosity and flexibility 				1 2 3 4
<ul style="list-style-type: none"> ● Demonstrates openness to considering own transference and counter-transference issues 				1 2 3 4
B) Self-assessment				
Essential Component:				
<ul style="list-style-type: none"> ■ Knowledge of core competencies; emerging self-assessment regarding competencies 				
Behavioral Anchor:				
<ul style="list-style-type: none"> ● Recognizes own clinical strengths and the areas needing further development 				1 2 3 4
C) Self-care: Attention to personal health and well-being to assure effective professional functioning				
Essential Component:				
<ul style="list-style-type: none"> ■ Understands the importance of self-care in effective practice; knowledge of self-care methods; attention to self-care 				
Behavioral Anchor:				
<ul style="list-style-type: none"> ● Demonstrates basic awareness and attention to self-care 				1 2 3 4

GOAL 3: CULTURALLY SENSITIVE PRACTICE				
Objectives: Self-awareness, awareness of others, and awareness of the interaction of self and others as shaped by individual and cultural diversity, taking into consideration any cultural, individual and role differences, including those based on age, gender, gender identity, race, ethnicity, national origin, religion, sexual identity, disability, language and socioeconomic status, and context				
Essential Components:				
<ul style="list-style-type: none"> ■ Knowledge, awareness, and understanding of: <ul style="list-style-type: none"> ● One's own dimensions of diversity and attitudes towards others' diversity ● Other individuals as cultural beings ● The interaction between self and others as shaped by individual and cultural diversity and reflecting a confluence of diverse cultural beings/entities 				
■ Knowledge, skills and attitudes regarding intersecting and complex dimensions of diversity				
■ Knowledge of methods and techniques for assessing patients' experience and values				
Behavioral Anchors:				
● Demonstrates openness to self-identify, multiple, individual and cultural identities	1	2	3	4
● Demonstrates this self-knowledge, awareness, and understanding: For example: articulates how ethnic group values influence who one is and how one relates to other people	1	2	3	4
● Demonstrates cultural sensitivity in practice	1	2	3	4
● Demonstrates knowledge, awareness and understanding of the way culture and context shape the behavior of other individuals	1	2	3	4
● Demonstrates knowledge of methods and techniques for assessing the client's values, personal preferences and cultural identity, as well as their experience of social and cultural biases and discrimination and the impact of these factors on the presenting problem	1	2	3	4
● Demonstrates knowledge of methods and techniques for assessing the impact of other peoples' values, culture and life experiences on the client's presenting problem	1	2	3	4
● Demonstrates knowledge and understanding of the way culture and context shape interactions between and among individuals, departments and organizations/agencies	1	2	3	4
● Adapts and modifies one's professional behavior in a culturally sensitive manner, as appropriate to the needs of the patient	1	2	3	4

GOAL 4: ETHICAL/ LEGAL STANDARDS AND POLICY				
Knowledge of ethical, legal and professional standards and guidelines				
Essential Component:				
■ Basic knowledge of the principles of the NACSW Code of Ethics or CA-MFT Ethical Standards; beginning knowledge of legal and regulatory issues, including California and national law, in the practice of counseling that apply to practice in a training				
Behavioral Anchors:				
● Articulates importance of concepts of confidentiality, privacy, informed consent	1	2	3	4
● Demonstrates knowledge of NACSW Code of Ethics or CA-MFT Ethical Standards and conducts self according to all aspects of the Code, especially regarding the key values of confidentiality, self-determination, non-judgmental attitude and maintenance of appropriate boundaries	1	2	3	4
● Demonstrates knowledge of typical legal issues in connected time frames (e.g., child and elder abuse reporting, HIPAA, Confidentiality, Informed Consent)	1	2	3	4

GOAL 5: INTERDISCIPLINARY SYSTEMS AND PROFESSIONAL RELATIONSHIPS				
Functioning in multidisciplinary and interdisciplinary contexts				
Essential Component:				
■ Cooperation, teamwork and collaboration				
Behavioral Anchors:				
● Demonstrates ability to cooperate with others in task completion	1	2	3	4
● Develops collaborative relationships with and respect for other professionals	1	2	3	4

FUNCTIONAL COMPETENCIES				
GOAL 6: THERAPEUTIC RELATIONSHIPS				
Interpersonal relationships and affective skills				
Essential Component:				
■ Awareness of own and tolerance of other's affect				
Behavioral Anchors:				
● Demonstrates affect tolerance	1	2	3	4
● Tolerates and understands interpersonal conflict, ambiguity and uncertainty	1	2	3	4
● Listens to and acknowledges feedback from others	1	2	3	4

GOAL 7: INTERVENTION				
A) Counseling skills & treatment planning				
Essential Components:				
■ Basic knowledge of counseling skills and interventions				
■ Knowledge of methods and techniques for assessing patients' experience and values				
■ Awareness of the therapeutic process				
Behavioral Anchors:				
● Demonstrates competence in performing mental status examinations	1	2	3	4
● Demonstrates competence in substance abuse assessment	1	2	3	4
● Demonstrates competence in assessing client's readiness for change	1	2	3	4
● Demonstrates competence in assessing client's coping strategies to reinforce and improve adaptation to life situations, circumstances and events	1	2	3	4
● Selects and modifies appropriate intervention strategies based on continuous clinical assessment	1	2	3	4
● Articulates awareness of theoretical basis of intervention and some general strategies	1	2	3	4
● Uses differential assessment and diagnoses	1	2	3	4
● Implements effective interventions with individual clients and families, including counseling, case management, and problem-solving	1	2	3	4
● Uses Evidence-Based practice process in clinical assessment and intervention with clients	1	2	3	4
B) Risk assessment				
Essential Component:				
■ Demonstrates foundational background in assessing for risk				
Behavioral Anchors:				
● Demonstrates competence in assessing for suicidal behavior and behavior that is a danger to others	1	2	3	4
● Demonstrates competence in assessing for grave disability	1	2	3	4
● Demonstrates competence in assessing for child and elder abuse	1	2	3	4
● Demonstrates competence in assessing for domestic violence	1	2	3	4
● Demonstrates knowledge of Tarasoff guidelines	1	2	3	4
C) Progress evaluation				
Essential Component:				
■ Demonstrates basic knowledge of the evaluation of progress and intervention outcome				
Behavioral Anchors:				
● Demonstrates basic knowledge of methods to examine intervention outcomes	1	2	3	4

GOAL 8: COMMUNITY PARTNERSHIPS				
Essential Component:				
■ Provides outreach to underserved populations in the community to promote healthy behaviors and provide education and training				
Behavioral Anchors:				
● Provides outreach to community via community projects, working to promote healthy behaviors to underserved populations	1	2	3	4
● Collects appropriate and relevant demographic information and outcome data	1	2	3	4
● Develops alliances with relevant individuals and/or systems to improve the lives of those served	1	2	3	4

Primary Supervisor Signature: _____ Date: _____

Revised 2015 by Kaiser Permanente Northern California Fellowship Training Directors, from original adaptation 2010 by Kaiser Permanente Northern California Mental Health Training Programs from Fouad, N.A., et al (2009). Competency benchmarks: a model for understanding and measuring competence in professional psychology across training levels. Training and Education in Professional Psychology 2009, Vol. 3, No. 4(Suppl.), S5-S26.

Appendix B

**KAISER PERMANENTE NORTHERN CALIFORNIA
POST-MASTER'S FELLOWSHIP PROGRAMS**

ACSW/AMFT FELLOW INDIVIDUAL TRAINING CONTRACT

Training Year: _____ Date: _____

Consortium: _____ Site: _____

Fellow: _____ Team: _____

Primary Supervisor Name: _____

I. TRAINING PLANS FOR MINIMAL EXPERIENCE COMPETENCY AREAS

List plan(s) for addressing all competency area(s) which fellow and supervisor have rated as "1" (Minimal Experience) on the Baseline Assessment of Fellow Foundational and Functional Competencies form, and which will be areas of focused training for fellow:

II. COMPETENCY AREAS WHICH FELLOW HAS IDENTIFIED FOR ADDED FOCUS

List all competency areas on which fellow wishes to focus during the training year:

III. TRAINING AGREEMENTS

A. Primary Supervisor: I agree with the plan for _____ to be my primary supervisor for my fellowship year. My primary supervisor's role is to oversee my professional development and clinical work.

B. Secondary Supervisor: I agree with the plan for _____ to be my secondary supervisor for my fellowship year.

IV. RESPONSIBILITIES AND EXPECTATIONS OF FELLOW

I understand the basic requirements and expected competencies of this fellowship program, and I have the Policy and Procedure Manual that details other expectations and responsibilities of the program. My progress with these responsibilities and expectations will be evaluated at quarterly intervals. This information will be confidential with the exception that it will be reported by my primary supervisor to the supervisory team.

My responsibilities and expectations are to:

- Spend approximately 20 hours per week providing direct services to clientele through individual, group or family therapy and conducting psychological assessments
- Meet with primary supervisor on a weekly basis to receive individual supervision and instructive feedback
- Achieve a rating of "3" ("Meets Expectations") by the end of the fourth quarter for all behavioral anchors in the Competencies Evaluation in order to complete the training program
- Spend a minimum of 32 hours over the course of the training year engaged in community partnership projects
- Maintain professional and ethical standards, including but not limited to adherence to reporting laws, confidentiality, and respect for boundaries, as outlined by Kaiser Permanente, the BBS, NACSW, AAMFT and the State of California
- Maintain a log of supervisory hours (individual and group), treatment team documentation and completed assessments
- Advise my patients of my trainee status and my supervisors information, obtain consent from patients and document consent in HealthConnect
- Advise my patients that my supervisors will be reviewing my therapy notes
- Present challenging cases as appropriate
- Demonstrate preparedness/receptivity for supervision
- Participate in community activities such as mental health screening clinics and community partnerships
- Attend all regional training seminars, unless supervisor authorizes my absence
- Attend local didactics (90%)
- Complete assigned readings
- Consistently make progress on all behavioral anchors throughout the training year
- Model professional behavior by timeliness of record keeping, report writing, meetings, supervision, patient care, etc.
- Forward HealthConnect notes of all patient sessions to the primary supervisor for review in a timely manner, that they may be re-closed within the required period.

I also understand and agree that:

- Supervisors bear liability in supervision regarding the standard of patient care/client welfare, and need to have complete information regarding patients and files.
- Immediately upon my patient reporting any child, dependent adult or elder abuse, or danger to self or danger to others, or gravely disabled, I will inform my supervisor(s)
- In supervision, attention to personal factors and diversity issues such as values, belief systems, biases, conflicts, and predispositions may be discussed in relation to patient care/client welfare.
- In the event that my own personal process(es) do disrupt patient care, the supervisory team and/or site training director may suggest that I seek my own personal therapy.
- My primary supervisor will present me with formal written feedback on my performance using the Competencies Evaluation, at least once per quarter and more frequently if necessary, if a concern arises in any competency area.
- I have read "Therapy Never Includes Sex" within the first week of training
- My failure to abide by professional and ethical standards as noted above may result in remediation or corrective action, as outlined in the ACSW/AMFT Policy and Procedure Manual.
- If any competency area is unsatisfactory, the supervisory team and site training director will specify strategies to help me meet these competencies.
- In order to complete the training program, I must achieve a minimum rating of "3" (Consistently Meets Expectations) by the end of the fourth quarter for all behavioral anchors in the Competencies Evaluation.

Fellow acknowledges that, by signing this form, he/she understands and agrees to the above Training Agreements, and Responsibilities and Expectations.

The Fellow Individual Training Contract has been agreed to on this _____ of _____, 20_____

Required Signatures:

Fellow: _____ **Date:** _____

Primary Supervisor: _____ **Date:** _____

Site training director: _____ **Date:** _____

Revised 2016 for Kaiser Permanente Northern California ACSW/AMFT programs by K. Crew, M. Lim Yankowitz and K. Wetzler, from original contract created by L. Kittredge, KPNC Postdoctoral Residency Programs in Clinical Psychology and adapted from Falender & Shafranske, Clinical Supervision: A Competency-Based Approach. American Psychological Association, Washington, D.C., 2004, and various models posted on the APPIC Website.

Appendix C

KAISER PERMANENTE NORTHERN CALIFORNIA POST-MASTER'S FELLOWSHIP PROGRAMS

COMPETENCIES EVALUATION FOR ACSW/AMFT FELLOW FOUNDATIONAL AND FUNCTIONAL COMPETENCIES WITH BEHAVIORAL ANCHORS

Training Year: _____
 Training Site: _____
 Fellow Name: _____
 Primary Supervisor Name: _____

Date: _____
 Team: _____

Rating	Measurement	Description
1 = Inadequate	At this point in the training program, Fellow's performance never meets expectations for an ACSW/AMFT fellow	A rating of "1" (Inadequate) prompts the supervisor to: 1) Complete the Letter of Warning procedure in the Remediation Process (see Appendix F of the Policy and Procedure Manual); and 2) Complete a narrative describing the justification behind this rating.
2 = Needs Improvement	At this point in the training program, Fellow's performance sometimes meets expectations for an ACSW/AMFT fellow.	A rating of "2" (Needs Improvement) prompts the supervisor to: 1) Initiate the Focused Competency Guidance process (see Appendix F of the Policy and Procedure Manual), and 2) Complete a narrative describing the justification behind this rating.
3 = Meets Expectations	At this point in the training program, Fellow's performance consistently meets expectations for an ACSW/AMFT fellow.	A rating of "3" (Meets Expectations) indicates that Fellow's performance meets the competency requirements for fellows at that stage of training.
4 = Exceeds Expectations	At this point in the training program, for a majority of the time , Fellow's performance exceeds expectations for an ACSW/AMFT fellow.	A rating of "4" (Exceeds Expectations) requires the supervisor to complete a narrative describing the justification behind this rating.

If, by the end of the third evaluation period, the fellow has not achieved ratings of 3 or higher for all behavioral anchors, he/she will not receive a Certificate of Completion.

FOUNDATIONAL COMPETENCIES				
GOAL 1: PROFESSIONALISM				
A) Professional identity				
Essential Components:				
■ Understands professional values; honesty, personal responsibility				
■ Understands self as professional, "thinking like a mental health professional"				
Behavioral Anchors:				
	BENCHMARK 1 st Quarter	BENCHMARK 2 nd Quarter	BENCHMARK 3 rd Quarter	BENCHMARK 4 th Quarter
● Demonstrates honesty and takes responsibility for own actions	1 2 3 4	1 2 3 4	1 2 3 4	1 2 3 4
● Demonstrates knowledge of practicing within one's competence	1 2 3 4	1 2 3 4	1 2 3 4	1 2 3 4
● Understands the need to take personal responsibility for ongoing learning and training opportunities	1 2 3 4	1 2 3 4	1 2 3 4	1 2 3 4

<ul style="list-style-type: none"> ● Recognizes own clinical strengths and the areas needing further development 	1 2 3 4	1 2 3 4	1 2 3 4	1 2 3 4
C) Self-care: Attention to personal health and well-being to assure effective professional functioning				
Essential Component:				
<ul style="list-style-type: none"> ■ Understands the importance of self-care in effective practice; knowledge of self-care methods; attention to self-care 				
Behavioral Anchor:				
<ul style="list-style-type: none"> ● Demonstrates basic awareness and attention to self-care 	1 2 3 4	1 2 3 4	1 2 3 4	1 2 3 4
Goal 2 Supervisor Comments				

GOAL 3: CULTURALLY SENSITIVE PRACTICE

Objectives: Self-awareness, awareness of others, and awareness of the interaction of self and others as shaped by individual and cultural diversity, taking into consideration any cultural, individual and role differences, including those based on age, gender, gender identity, race, ethnicity, national origin, religion, sexual identity, disability, language and socioeconomic status, and context

Essential Components:

- Knowledge, awareness, and understanding of:
 - One's own dimensions of diversity and attitudes towards others' diversity
 - Other individuals as cultural beings
 - The interaction between self and others as shaped by individual and cultural diversity and reflecting a confluence of diverse cultural beings/entities
- Knowledge, skills and attitudes regarding intersecting and complex dimensions of diversity
- Knowledge of methods and techniques for assessing patients' experience and values

Behavioral Anchors:

	BENCHMARK 1 st Quarter	BENCHMARK 2 nd Quarter	BENCHMARK 3 rd Quarter	BENCHMARK 4 th Quarter
<ul style="list-style-type: none"> ● Demonstrates openness to self-identify multiple individual and cultural identities 	1 2 3 4	1 2 3 4	1 2 3 4	1 2 3 4
<ul style="list-style-type: none"> ● Demonstrates this self-knowledge, awareness, and understanding: For example: articulates how ethnic group values influence who one is and how one relates to other people 	1 2 3 4	1 2 3 4	1 2 3 4	1 2 3 4
<ul style="list-style-type: none"> ● Demonstrates cultural sensitivity in practice 	1 2 3 4	1 2 3 4	1 2 3 4	1 2 3 4
<ul style="list-style-type: none"> ● Demonstrates knowledge, awareness and understanding of the way culture and context shape the behavior of other individuals 	1 2 3 4	1 2 3 4	1 2 3 4	1 2 3 4
<ul style="list-style-type: none"> ● Demonstrates knowledge of methods and techniques for assessing the client's values, personal preferences and cultural identity, as well as their experience of social and cultural biases and discrimination and the impact of these 	1 2 3 4	1 2 3 4	1 2 3 4	1 2 3 4

factors on the presenting problem				
<ul style="list-style-type: none"> ● Demonstrates knowledge of methods and techniques for assessing the impact of other peoples' values, culture and life experiences on the client's presenting problem 	1 2 3 4	1 2 3 4	1 2 3 4	1 2 3 4
<ul style="list-style-type: none"> ● Demonstrates knowledge and understanding of the way culture and context shape interactions between and among individuals, departments and organizations/agencies 	1 2 3 4	1 2 3 4	1 2 3 4	1 2 3 4
<ul style="list-style-type: none"> ● Adapts and modifies one's professional behavior in a culturally sensitive manner, as appropriate to the needs of the patient 	1 2 3 4	1 2 3 4	1 2 3 4	1 2 3 4

Goal 3 Supervisor Comments

GOAL 4: ETHICAL/LEGAL STANDARDS AND POLICY

Knowledge of ethical, legal and professional standards and guidelines				
Essential Component:				
<ul style="list-style-type: none"> ■ Basic knowledge of the principles of the NACSW Code of Ethics or CA-MFT Ethical Standards; beginning knowledge of legal and regulatory issues, including California and national law, in the practice of counseling that apply to practice while placed in a training setting 				
Behavioral Anchors:				
<ul style="list-style-type: none"> ● Articulates importance of concepts of confidentiality, privacy, informed consent 	1 2 3 4	1 2 3 4	1 2 3 4	1 2 3 4
<ul style="list-style-type: none"> ● Demonstrates knowledge of NACSW Code of Ethics or CA-MFT Ethical Standards and conducts self, according to all aspects of the Code, especially regarding the key values of confidentiality, self-determination, non-judgmental attitude and maintenance of appropriate boundaries 	1 2 3 4	1 2 3 4	1 2 3 4	1 2 3 4
<ul style="list-style-type: none"> ● Demonstrates knowledge of typical legal issues in connected time frames (e.g., child and elder abuse reporting, HIPAA, Confidentiality, Informed Consent) 	1 2 3 4	1 2 3 4	1 2 3 4	1 2 3 4

Goal 4 Supervisor Comments

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GOAL 7: INTERVENTION

A) Counseling Skills & Treatment Planning

Essential Components:

- Basic knowledge of counseling skills and interventions
- Knowledge of methods and techniques for assessing patients' experience and values
- Awareness of the therapeutic process

Behavioral Anchors:

● Demonstrates competence in performing mental status examinations	1 2 3 4	1 2 3 4	1 2 3 4	1 2 3 4
● Demonstrates competence in substance abuse assessment	1 2 3 4	1 2 3 4	1 2 3 4	1 2 3 4
● Demonstrates competence in assessing client's readiness for change	1 2 3 4	1 2 3 4	1 2 3 4	1 2 3 4
● Demonstrates competence in assessing client's coping strategies to reinforce and improve adaptation to life situations, circumstances and events	1 2 3 4	1 2 3 4	1 2 3 4	1 2 3 4
● Selects and modifies appropriate intervention strategies based on continuous clinical assessment	1 2 3 4	1 2 3 4	1 2 3 4	1 2 3 4
● Articulates awareness of theoretical basis of intervention and some general strategies	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5
● Uses differential assessment and diagnoses	1 2 3 4	1 2 3 4	1 2 3 4	1 2 3 4
● Implements effective interventions with individual clients and families, including counseling, case management, and problem-solving	1 2 3 4	1 2 3 4	1 2 3 4	1 2 3 4
● Uses Evidence-Based practice process in clinical assessment and intervention with clients	1 2 3 4	1 2 3 4	1 2 3 4	1 2 3 4

B) Risk assessment

Essential Component:

- Demonstrates foundational background in assessing for risk

Behavioral Anchors:

● Demonstrates competence in assessing for suicidal behavior and behavior that is a danger to others	1 2 3 4	1 2 3 4	1 2 3 4	1 2 3 4
● Demonstrates competence in assessing for grave disability	1 2 3 4	1 2 3 4	1 2 3 4	1 2 3 4
● Demonstrates competence in assessing for child and elder abuse	1 2 3 4	1 2 3 4	1 2 3 4	1 2 3 4
● Demonstrates competence in assessing for domestic violence	1 2 3 4	1 2 3 4	1 2 3 4	1 2 3 4
● Demonstrates knowledge of Tarasoff guidelines	1 2 3 4	1 2 3 4	1 2 3 4	1 2 3 4

C) Progress evaluation

Essential Component:

- Demonstrates basic knowledge of the evaluation of progress and intervention outcome

Behavioral Anchor:

● Demonstrates basic knowledge of methods to examine intervention outcomes	1 2 3 4	1 2 3 4	1 2 3 4	1 2 3 4
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Appendix D

KAISER PERMANENTE NORTHERN CALIFORNIA POST-MASTER'S FELLOWSHIP PROGRAMS

ACSW/AMFT FELLOW GRIEVANCE PROCEDURES

This policy includes the following sections:

- **VERBAL GRIEVANCE COMMUNICATION**
- **WRITTEN GRIEVANCE COMMUNICATION**
- **GRIEVANCE APPEAL**

POLICY STATEMENT

It is the goal of the Mental Health Training Programs to provide a learning environment that fosters congenial professional interactions among training faculty and fellows that are based on mutual respect. However, it is possible that situations will arise that prompt fellows to file grievances.

If a fellow has any disagreement with his/her supervisor, another staff member, a fellow, or a matter of program policy, he/she will be encouraged to communicate openly with the person involved, if possible, or with the fellow's own supervisor about the issue. At any time before or during the procedure, the fellow may discuss his/her concerns about the issue directly with the site training director and/or a Human Resources Consultant. The procedure for this is outlined, below.

Fellows will not be subject to reprisal in any form as a result of participating in this grievance procedure.

PURPOSE

This policy is intended to facilitate prompt resolution of a problem identified by a fellow as requiring attention and/or resolution. This policy is not intended to be used by a fellow to challenge the results of a performance evaluation, or any remedial or corrective action (e.g., letter of warning, probation, etc.). To challenge a program decision, the fellow is directed to follow the Post-Master's Fellow Due Process, as outlined in Appendix G.

COVERAGE

These policies apply to all post-master's fellows participating in Kaiser Permanente Northern California Mental Health Training Programs.

PROVISIONS

KP will make these policies available for viewing on the fellowship programs' web pages.

None of the meetings involved in the following procedure may be electronically recorded.

PROCEDURES

➤ **VERBAL GRIEVANCE COMMUNICATION**

If a fellow has any disagreement with his/her supervisor, another staff member, a fellow, or a matter of program policy, he/she will be encouraged to communicate openly with the person involved, if possible, or with the fellow's own supervisor about the issue. At any time before or during the procedure, the fellow may discuss his/her concerns about the issue directly with the site training director and/or a Human Resources Consultant.

The fellow is responsible for specifically describing how he/she intends to gain satisfactory resolution of the problem. If the fellow has chosen to address the issue with their supervisor, the supervisor is responsible for exploring the issue fully with the fellow and offering ideas for resolving it. If the fellow is dissatisfied with the outcome of the verbal discussion, he or she is directed to follow the procedure for Written Grievance Communication, as outlined below.

➤ **WRITTEN GRIEVANCE COMMUNICATION**

If Verbal Grievance Communication as outlined above has been completed, and the issue has not been resolved to the fellow's satisfaction, the fellow may submit a written document to the training director or departmental administrator (or designee), describing their grievance in detail. However, in no case shall any staff member who has participated in the verbal communication process also participate in the review of written grievance communication.

As soon as possible, but no later than 10 business days from receipt of the written grievance, the training director and/or departmental administrators should meet with the fellow (and the supervisor, if appropriate) to discuss the issue. After this discussion, the training director and/or departmental administrators (or designee) will, if necessary, conduct an investigation, and respond to the fellow's grievance in writing within 10 business days. If the fellow is dissatisfied with the outcome of the review of written communication, he or she is directed to follow the procedure for Grievance Appeal, as outlined below.

➤ **GRIEVANCE APPEAL**

If Verbal and Written Grievance Communication procedures (as outlined, above) have been completed, and the issue has not been resolved to the fellow's satisfaction, the fellow may file a Grievance Appeal. To do so, the fellow is directed to: complete the Grievance Appeal form (see Appendix E), attaching a copy of the written communiqué; and submit these items to the regional training director (or designee). However, in no case shall any staff members who have participated in the verbal or written grievance communication processes also participate in the review of appeal.

The regional training director should follow the procedure outlined above, in Written Grievance Communication, including meeting with the fellow, establishing a time estimate for a response, conducting any necessary investigation, and responding to the fellow. The response should be given within 10 business days after the discussion.

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Before responding to the fellow, the regional director will meet with the training director and supervisor to review the dispute and discuss the issues involved. The group may also choose to meet together with the fellow at this time.

Additionally, before responding, the regional training director may review their findings with the Human Resources Department and/or legal counsel, as appropriate.

Appendix E

**KAISER PERMANENTE NORTHERN CALIFORNIA
POST-MASTER'S FELLOWSHIP PROGRAMS**

**ACSW/AMFT
FELLOW
GRIEVANCE APPEAL**

Please Note:

1) This form is to be completed by an ACSW/AMFT fellow when appealing a program decision regarding a grievance. To appeal the results of an evaluation or other program decision such as remediation or corrective action, the fellow is directed to follow the ACSW/AMFT Fellow Due Process, as outlined in Appendix G.

2) This appeal process excludes employees covered by collective bargaining agreements

This Grievance Appeal is Addressed To:

Regional Training Director Name:

Departmental Administrator Name:

Fellow Name:

Job Title:

Training Location:

Department:

Primary Supervisor:

Training Director Name:

Training Schedule:

Work Extension:

Home Phone:

Date of Original Grievance:

Basis of Appeal:

Details of Appeal: (Please attach a copy of the Written Communication to the back of this form)

Resolution Sought:

Signature of Fellow:

Date:

Appendix F

KAISER PERMANENTE NORTHERN CALIFORNIA POST-MASTER'S FELLOWSHIP PROGRAMS

ACSW/AMFT FELLOW REMEDICATION AND CORRECTIVE ACTION PROCEDURES

REMEDICATION AND CORRECTIVE ACTION

There are several levels and types of remedial and corrective actions that may be taken if a significant concern about a fellow's professional conduct, professional development or performance arises during his or her fellowship. The primary supervisor will consult with the training director to determine the severity of the concern(s) and the appropriate level and type of remediation. These actions are taken at the discretion of the training program and need not be sequential. As appropriate, remedial actions may be taken concurrently. While these policies provide guidance regarding when a particular action is taken, the primary supervisor may initiate any procedure(s) described below that they deem appropriate under the circumstances. Additionally, the primary supervisor may refer to KP's Human Resources' policies, available on MyHR.

The policies in this appendix target fellow performance issues or problematic behavior according to their degree of severity. Due process is a mechanism by which a fellow may challenge any decisions made by the program, including those outlined in the policies in this appendix. For Post-master's Fellow Due Process, please see Appendix G.

RECORD-KEEPING

For Focused Competency Guidance, the supervisor will make notations on the fellow's CE in narrative form describing their concerns and recommendations. For Letter of Warning and all Corrective Actions, training faculty will maintain clear written records (e.g., memos and/or narratives of meetings) describing what transpired during the procedure, including any action plans that were followed, their timelines and outcomes.

PURPOSE

These policies are intended to address and, if possible, correct, competency issues found to be substandard in a fellow.

COVERAGE

These policies apply to all post-master's fellows participating in Kaiser Permanente Northern California Mental Health Training Programs.

PROVISIONS

KP will make these policies available for viewing on the fellowship programs' web pages.

SECTION I - REMEDIATION

This section includes:

- **FOCUSED COMPETENCY GUIDANCE**
- **LETTER OF WARNING**

OVERVIEW

The primary purpose of Remediation is to provide a fellow with additional training and supervision for any competencies for which performance has been identified as sub-standard. The two components of Remediation (Focused Competency Guidance and Letter of Warning) are conceptualized as responses to varying degrees of concern on the part of training faculty for a fellow's performance not related to behavior such as patient endangerment, professional misconduct or criminal behavior. (See Corrective Action in Section II, below, for the program's response to these behaviors).

When specific concern about a fellow's performance arises at any point during the training year, including but not limited to quarterly intervals, the supervisor will utilize the Competencies Evaluation (CE). A fellow's performance deficits may be due to insufficient skill or knowledge, or problematic behaviors that significantly impact their professional functioning, and the CE ratings will determine the appropriate course of action for the supervisor and fellow. By following the Focused Competency Guidance and/or Letter of Warning, the training faculty will assist a fellow in improving their performance in the targeted competency areas. To this end, the program will provide the fellow with additional training and/or remedial experiences, and/or will recommend resources to them.

Schedule Modification: Schedule modification is a time-limited, closely supervised period of training, usually triggered by the initiation of Focused Competency Guidance or Written Letter of Warning. Several possible and concurrent courses of action may be included in modifying a schedule. These include: (a) increasing the amount of supervision, either with the same or other supervisors; (b) changing the format, emphasis and/or focus of supervision; (c) recommending personal therapy; (d) reducing the fellow's clinical or other workload; and (e) requiring specific academic course work. The training director will determine the length and nature of any period of schedule modification.

In response to the initiation of either remediation procedure, the fellow may choose to write an appeal. To do so, the fellow is directed to follow Post-Master's Fellow Due Processes, in Appendix G.

➤ **FOCUSED COMPETENCY GUIDANCE**

Policy Statement

Focused Competency Guidance is typically triggered when a fellow receives one or more ratings of "2" ("Needs Improvement") on the Competency Evaluation (CE) for any behavioral anchor(s) *other than those related but not limited to patient endangerment, professional misconduct, criminal conduct or substance abuse. For directions on responding to behaviors such as these, see Corrective Action policies, below.*

The "2" rating typically indicates **minor** competency deficit(s) that may be easily ameliorated by added training. However, during the third or fourth quarters of the training year, if a fellow receives a "2" for any behavioral anchor, the supervisor may choose to initiate either the Letter of Warning or a Corrective Action procedure (see below).

Focused Competency Guidance Plan (Appendix F.1)

After determining the need to initiate Focused Competency Guidance, the primary supervisor is responsible for meeting with the fellow and completing the Focused Competency Guidance Plan (Appendix F.1). During this meeting, the supervisor should discuss the competency issue(s) fully, openly and candidly with the fellow. In the plan, the supervisor will identify the competencies to be targeted and recommend actions to be taken in the targeted competency area(s), such as additional training and/or supervision, to rectify the fellow's behavior. The guidance plan will also include a timeline for reassessment of the identified concerns. This plan must be signed and dated by both parties, during both the initial and follow-up meetings. See Appendix F.1 for further details.

➤ **LETTER OF WARNING**

Policy Statement

The Letter of Warning is usually triggered when a fellow receives one or more ratings of "1" on the Competencies Evaluation (CE) or Baseline Assessment for any behavioral anchor(s) *other than those related but not limited to patient endangerment, professional misconduct, criminal conduct or substance abuse*. For directions on responding to behaviors such as these, see *Corrective Action policies, below*.

A rating of "1" ("Inadequate") on the CE or Baseline Assessment for any behavioral anchor not flagged in italics above, indicates **major** competency deficit(s) and prompts the supervisor to initiate the Letter of Warning. The Letter of Warning may also be initiated when training faculty have determined that further action is needed after the fellow completes the Focused Competency Guidance Plan (see above section). However, during the third or fourth quarters of the training year, if a fellow receives a "1" for any behavioral anchors, the supervisor may choose to initiate a Corrective Action procedure (see below).

Examples of Letters of Warning are available from the regional office, upon request.

Letter of Warning Form (Appendix F.2)

To initiate this action, the supervisor is directed to use the Letter of Warning form (Appendix F.2). The following components are included on the form:

1. Description of fellow's unsatisfactory performance
2. Identification of the targeted competency area(s)/behavioral anchors
3. Outline of measures to be undertaken to remediate fellow performance, including but not limited to: schedule modification; provision of opportunities for the fellow to receive added supervision and/or to attend additional seminars and/or other training activities; and/or recommendation of training resources
4. Expectations for successful outcome
5. Consequences for unsuccessful outcome (which may include initiation of Probation)

6. Notification that fellow is no longer considered in "Good Standing" within the fellowship program
7. Notification that this Letter of Warning action may impact whether the fellow's supervised hours will be found to be satisfactory.
8. Timeline for completion

The supervisor will provide the fellow and the site training director with copies of this letter. Within the time frame outlined in the plan, the supervisor and the training director will re-evaluate the fellow, using the CE. If the training faculty determines that insufficient progress has been obtained and further action is needed, they may submit a written explanation of their concerns to the fellow. In addition, they may initiate the Probation procedure at this time, as outlined below. They must inform the fellow in writing of the training faculty's decision to move to fellow to probation.

SECTION II – CORRECTIVE ACTION

This section includes:

- **PROBATION**
- **SUSPENSION**
- **TERMINATION**

OVERVIEW

The three procedures of corrective action (Probation, Suspension, and Termination) are conceptualized as responses to varying degrees of concern on the part of training faculty and departmental management for a fellow's performance and/or behavior. The training faculty, in conjunction with the departmental management, is directed to initiate any of these processes as their first response: the severity of the concern will determine the starting point.

The Probation process may be initiated by the training director along with departmental management in response to circumstances including but not limited to when a fellow has serious competency concerns that have been unresponsive to Remediation (see Section I, above), or that call for a higher level of action by the program.

Suspension of a fellow may be initiated as a result of the following: 1) if the competency area(s) and/or behavior(s) of concern indicate(s) a question of patient endangerment, professional misconduct and/or criminal behavior on the part of the fellow; and/or 2) if, after the Probationary period, the fellow has not met expectations for improvement in identified competencies.

Termination involves the permanent withdrawal of all privileges associated with the Kaiser Permanente Northern California Mental Health Training Programs. Termination of a fellow will be initiated if the competency area(s) and/or behavior(s) of concern indicate(s) a certainty of patient endangerment, professional misconduct and/or criminal behavior on the part of the fellow. Termination may also be invoked for any other egregious offense on the part of the fellow, including but not limited to those listed in the section on Termination, below. In addition, a fellow, as an employee of Kaiser Permanente, may have their employment terminated at any time, with or without cause, by the training director in conjunction with departmental management. Termination of a fellow's employment will result in dismissal of the fellow from

In response to any of the corrective action procedures outlined in these policies, the fellow may choose to write an appeal. To do so, the fellow is directed to follow the Fellow Due Processes, in Appendix G.

➤ **PROBATION**

Policy Statement

Fellows who are in jeopardy of not successfully completing the competency requirements of the training program or who have serious competency-related concerns that go beyond, or have not been corrected after, a focused competency review or a letter of warning, may be placed on probation by the training director. The probationary period will include more closely scrutinized supervision conducted by the regular supervisors in consultation with the training director. The training director in conjunction with the departmental manager will make this determination and implement the probationary process. The training director will monitor for a specified length of time the fellow's progress in changing or improving the behavior of concern. The outcome of Probation may be refusal of certificate of completion or termination of fellow.

As noted for Letter of Warning, above, the fellow is not considered in "Good Standing" when on Probation. Following due process, the fellow may choose to appeal a probationary action. To do so, the fellow is directed to follow the Post-Master's Fellow Due Process, in Appendix G.

Written Probationary Notice

The training director, in conjunction with the primary supervisor and departmental manager, will submit a letter to the fellow outlining the program's concerns regarding the fellow's performance or behavior, and formally placing the fellow on probation. This letter will also describe the consequence(s) of the fellow's failure to show immediate and substantial improvement in the identified competency areas within the planned time period. Possible consequences for failure include refusal of certificate of completion and/or suspension and/or termination of the fellow. The training director will provide the supervisor with a copy of this letter.

When drafting the probationary notice, the training director should take the following into consideration:

1. Description of the reasons for probation, to include the following, if applicable:
 - a. Severity of the violation
 - b. Number of violations
 - c. Whether the violation was part of a pattern or practice of inappropriate behavior
 - d. Fellow's past history of non-compliance
 - e. Whether the fellow should have known the rules
 - f. Whether the violation was intentional or negligent
 - g. Whether the action was committed for personal gain
2. Identification of the targeted competency area(s)/behavioral anchors
3. Notification that fellow is no longer considered in "Good Standing" within the fellowship program
4. Notification that this probationary action may impact whether the fellow's supervised hours will be found to be satisfactory.
5. Any required schedule modification
6. Criteria for determining whether the problem has been adequately addressed

7. Consequences of an unsuccessful outcome (may include refusal of certificate of completion and/or suspension and/or termination of fellow)
8. Timeline for completion

Probationary Period

Improvement in the fellow's competence must be observed within the time frame outlined in the probationary notice and must be evidenced by CE rating(s) of "3" ("Consistently Meets Expectations") or above, for targeted competency areas. Failure to show substantial improvement in the identified competency areas within the specified time period may lead to an extension of the probationary period or to other actions, including suspension or termination (see below).

➤ **SUSPENSION**

Policy Statement

Suspension of a fellow is a dual decision process made between the training director and the departmental manager, with notice given to the training director. As a result of this decision, the fellow may be suspended from all or part of their usual and regular assignments in the training program.

Suspension, up to and including termination, of a fellow may be initiated as a result of the following: 1) if the competency area(s) and/or behavior(s) of concern indicate(s) a question of patient endangerment, professional misconduct and/or criminal behavior on the part of the fellow; and/or 2) if, after the Probationary period, the fellow has not met expectations for improvement in identified competencies.

Suspension of a fellow can be initiated immediately as the direct result of but not limited to a fellow's unprofessional or unethical behavior, for failing to comply with state law, federal law, Kaiser Permanente and/or the training program's policies, procedures or professional association guidelines, or when the removal of the fellow from the clinical service is required for the best interests of the fellow, patients, staff and/or the training program.

The training director's implementation of the Suspension procedure may, but need not, be prompted by CE rating(s) of "1" (Inadequate) for anchor(s) related to these behaviors. The training director and primary supervisor will confirm the suspension in writing, stating the reason(s) for the suspension and its expected duration.

As with probation, a fellow suspended from the post-master's training program will be notified that they are no longer considered in good standing with the training program. Suspension may be coupled with or followed by other remedial actions and will continue as indicated unless and until overturned by appeal.

Following due process, the fellow may choose to appeal this action. To do so, the fellow is directed to follow Post-Master's Fellow Due Process, outlined in Appendix G.

Written Suspension Notice

The training director, in conjunction with the manager and the HR Liaison, initiates Suspension for a fellow, informing the training director of this action.

The training director and primary supervisor will submit a written letter to the fellow which addresses the following:

1. Description of fellow's unsatisfactory performance
2. Identification of violation(s), including corresponding competency area(s) and behavioral anchors
3. Notice of Suspension

Examples of factors to be considered when documenting patient endangerment, professional misconduct or criminal behavior on the part of the fellow include, but are not limited to, those listed in item (1), in Written Probationary Notice, above.

In addition, the training director will contact the fellow (copying the supervisor) to schedule a hearing, wherein the fellow will be given an opportunity to respond to the training director and supervisor's concerns (see below).

Suspension Hearing

The training director and primary supervisor will meet with the fellow to review the letter, voicing their concerns fully, openly and candidly. The fellow will be asked to respond to the letter and group's concerns. The training director will take notes during the hearing, making a clear record of the interaction.

Depending on the severity of the violation, the training faculty may choose at this point, with or without warning, to notify the fellow that they have been suspended from the training program or to terminate the fellow from the program. In the event that the fellow is terminated from the program, the fellow may choose to appeal this action. To do so, the fellow is directed to follow the Post-Master's Fellow Due Process in Appendix G. Or, the fellow may choose to resign from the program.

The group will inform the regional training director of the proceedings of the hearing.

➤ TERMINATION

Policy Statement

Termination involves the permanent withdrawal of all privileges associated with the Kaiser Permanente Northern California Mental Health Training Programs. This action is invoked for any of the following reasons:

1. Violation of federal or state laws, including HIPAA and CMIA, and in which the imminent harm to a client either physically or psychologically is a major factor
2. Severe violation of KP policies, including training program policies, procedures or professional organization guidelines
3. Severe violation of the APA Ethical Principles and Code of Conduct
4. Unprofessional, unethical or other behavior that is otherwise considered unacceptable by the training program
5. Attempts at remediation, after a reasonable period of time, have not rectified the competency problems
6. The fellow is unable to complete the program due to severe physical, mental or emotional

7. Serious or repeated act(s) or omission compromising acceptable standards of patient care.

Termination of a fellow can be initiated immediately if the training faculty or department staff observes endangerment to patient welfare, professional misconduct or criminal behavior on the part of the fellow.

In addition to the above, a fellow, as an employee of Kaiser Permanente, may have their employment terminated at any time, with or without cause, by the training director in conjunction with departmental management. Termination of a fellow's employment will result in dismissal of the fellow in the training program.

Following due process, the fellow may choose to appeal a decision to terminate. To do so, the fellow is directed to follow the Post-Master's Fellow Due Process, Appendix G.

Written Termination Notice

The decision to dismiss a fellow is not made lightly and is made by the training director and departmental manager, in consultation with the HR consultant. The fellow will be notified of the decision in writing, in a letter that addresses the following:

- Description of fellow's unsatisfactory performance
- Identification of violation(s), including corresponding competency area(s) and behavioral anchors
- Notice of Termination

The termination notice may also include details such as are listed in the Written Suspension Notice, above.

Appendix F.1

KAISER PERMANENTE NORTHERN CALIFORNIA MENTAL HEALTH TRAINING PROGRAMS

MENTAL HEALTH TRAINEE REMEDIATION: FOCUSED COMPETENCY GUIDANCE PLAN

To be completed by the PRIMARY SUPERVISOR and signed by the PRIMARY SUPERVISOR and the MENTAL HEALTH TRAINEE

<p><u>Policy Statement:</u> Focused Competency Guidance is typically triggered when a trainee receives one or more ratings of “2” (“Needs Improvement”) on the Competencies Evaluation (CE) for any behavioral anchor(s) <i>other than those related but not limited to patient endangerment, professional misconduct, criminal conduct or substance abuse</i>. For directions on responding to behaviors such as these, see Appendix F, Remediation and Corrective Action Procedures, in the Policy and Procedure Manual.</p> <p>The “2” rating on the CE typically indicates minor competency deficit(s) that may be easily ameliorated by added training. However, during the third or fourth quarters of the training year, if a trainee receives a “2” for any behavioral anchor, the supervisor may choose to initiate either the Letter of Warning or a Corrective Action procedure (see Appendix F, Remediation and Corrective Action Procedures, in the Policy and Procedure Manual).</p> <p><u>To initiate Focused Competency Guidance: Use This Form</u> To initiate Focused Competency Guidance, the primary supervisor meets with the trainee and completes Page 1 and Sections A and B of the Focused Competency Guidance Plan. During this meeting, the supervisor discusses the trainee’s competency issue(s) fully, openly, and candidly with the trainee. In the plan, the supervisor describes recommends actions to be taken in the targeted competency area(s), such as providing the trainee with additional training and/or supervision, to rectify the trainee’s behavior. The supervisor also includes a timeline for reassessment of the identified concerns. The plan is then signed and dated by both parties, with a copy provided to the trainee.</p> <p>According to the time frame outlined in the plan, supervisor and trainee meet again to reassess and record trainee’s progress in Section C. The form is then signed and dated by both parties, with a copy provided to the trainee.</p>		
Competency Evaluation Quarter, Date & Training Year, or Date (if off-cycle):		
Mental Health Trainee Name (print):		
Primary Supervisor Name (print):		
Dates of Meetings between Trainee and Supervisor(s):	Initial Meeting Date:	Reassessment Meeting Date:

Focused Competency Guidance Plan		Page 2 of 3
A. Competency Issues discussed at meeting, rated as "2" on CE:	B. Recommended Actions	C. Reassessment Status of Actions/Competency
Competency/Issue:		
Competency/Issue:		
Competency/Issue:		
Competency/Issue:		

Focused Competency Guidance Plan		Page 3 of 3
A. Competency Issues discussed at meeting, rated as "2" on CE:	B. Recommended Actions (cont'd)	C. Reassessment Status of Actions/Competency
Competency/Issue:		
Competency/Issue:		

Timeline/Date of Next Reassessment:		
Signatures & Dates	Initial Meeting Signature & Date	Reassessment Meeting Signature & Date
Mental Health Trainee Signatures & Dates:		
Primary Supervisor Signatures & Dates:		

Appendix F.2
KAISER PERMANENTE NORTHERN CALIFORNIA
MENTAL HEALTH TRAINING PROGRAMS

MENTAL HEALTH TRAINEE REMEDIATION:
LETTER OF WARNING

To be completed by the PRIMARY SUPERVISOR and signed by the PRIMARY SUPERVISOR and the MENTAL HEALTH TRAINEE

<p><u>Policy Statement:</u> The Letter of Warning is usually triggered when a mental health trainee receives one or more ratings of “1” on the Competency Evaluation (CE) or Baseline Assessment for any behavioral anchor(s) <i>other than those related but not limited to patient endangerment, professional misconduct, criminal conduct or substance abuse</i>. For directions on responding to behaviors such as these, see Appendix F, Remediation & Corrective Action procedures, in the Policy and Procedure manual.</p> <p>A rating of “1” (“Inadequate”) on the CE or Baseline Assessment for any behavioral anchor not flagged in italics above, typically indicates major competency deficit(s) and prompts the supervisor to initiate a Letter of Warning. The Letter of Warning may also be initiated when training faculty have determined that further action is needed after the trainee completes the Focused Competency Guidance process. However, during the third or fourth quarters of the training year, if a trainee receives a rating of “1” for any behavioral anchors, the supervisor may choose to initiate a Corrective Action procedure.</p> <p><u>To Initiate the Letter of Warning Process: Use This Form</u> To initiate the Letter of Warning process, the supervisor completes Page 1 and the “Component” sections of this form. The supervisor then meets with the mental health trainee to review the information outlined in this section and obtain the necessary signatures. The supervisor must provide the trainee and the site training director with copies of the initialed and signed form.</p> <p>Later, according to the timeline described on the form, the supervisor and the site training director meet to re-evaluate the trainee, using the CE and recording their findings in the “Outcome” sections of this form. The supervisor and director then meet with the trainee to inform trainee of their findings, obtain the required signatures, and provide the trainee with a copy of the completed form. If it is determined that insufficient progress has been obtained and further action is needed, the faculty may initiate the Probation procedure at this time. In such a case, they must inform the trainee in writing of the training faculty’s decision to move to trainee to probation, and this form can be used for that purpose.</p>		
Competency Evaluation Quarter & Training Year, or Date (if off-cycle):		
Mental Health Trainee Name (print):		
Primary Supervisor Name (print):		
Dates of Meetings between Trainee and Supervisor(s)	Date of Letter & Meeting:	Date of Evaluation of Outcome:

Letter of Warning	
A. Component of Letter of Warning	B. Outcome
1. Description of mental health trainee's unsatisfactory performance	
2. Identification of targeted competency area(s)/behavioral anchors	

Letter of Warning	
Page 3 of 5	
A. Component of Letter of Warning (cont'd)	B. Outcome
<p>3. Outline of measures to be undertaken to remediate mental health trainee performance, including but not limited to: schedule modification; provision of opportunities for the mental health trainee to receive added supervision and/or to attend additional seminars and/or other training activities; and/or recommendation of training resources</p>	

Letter of Warning		Page 4 of 5	
A. Component of Letter of Warning (cont'd)			B. Outcome
4. Expectations for successful outcome			
5. Consequences for unsuccessful outcome (which may include initiation of Probation)			
6. Notification that, with this Letter of Warning action, the mental health trainee is no longer considered to be in "good standing" within the training program:	Mental Health Trainee's Initials:	Supervisor's Initials:	
7. Notification that this Letter of Warning action may impact whether the mental health trainee's supervised hours will be found to be satisfactory:	Mental Health Trainee's Initials:	Supervisor's Initials:	

Letter of Warning		Page 5 of 5	
A. Component of Letter of Warning (cont'd)			B. Outcome
8. Timeline for completion			
Signatures & Dates	Mental Health Trainee has received a copy of this letter	Signatures & Date of First Meeting	Signatures & Date of Outcome Meeting
Mental Health Trainee Signatures & Dates:	Yes <input type="radio"/> No <input type="radio"/>		
Primary Supervisor Signatures & Dates:			

Appendix G

KAISER PERMANENTE NORTHERN CALIFORNIA POST-MASTER'S FELLOWSHIP PROGRAMS

ACSW/AMFT FELLOW DUE PROCESS

OVERVIEW

The primary purpose of due process is to provide a mechanism by which all decisions made by the training program regarding a fellow's evaluation, remediation and corrective action, and status in the training program can be fairly reviewed. Due process is a mechanism by which a fellow may challenge any decision made by the program. **Note:** *This policy does not apply to nor can it be utilized by a fellow who is terminated as the result of an HR decision. In those situations, the fellow would follow the Kaiser Permanente HR policy.*

Fellows will not be subject to reprisal in any form as a result of participating in this grievance procedure.

PURPOSE

This policy is intended to facilitate a prompt and fair review of a fellow's challenge to a program decision. It is not intended to be used by a fellow to resolve a disagreement with his/her supervisor, another staff member, a fellow, or a matter of program policy. To resolve such a disagreement, the fellow is directed to follow the Post-Master's Fellow's Grievance Procedures, as outlined in Appendices G and H.

COVERAGE

These procedures apply to all post-master's fellows participating in Kaiser Permanente Northern California mental Health Training Programs.

PROVISIONS

KP will make these policies available for viewing on the fellowship programs' web pages.

Fellow's Written Challenge to Program Decision

If a fellow objects to the results of a program decision or an evaluation, or wishes to challenge any remedial or corrective action initiated by members of the training staff, the fellow may request a review of the decision or action. In order to challenge any such decision, the fellow must notify the training director in writing as soon as possible after receipt of the decision. This written notification shall include the following information:

1. Name of fellow
2. Current date
3. Date and description of decision under dispute
4. Description of fellow's disagreement with decision, including supporting information
5. Description of fellow's objective/goal for resolving dispute

Hearing & Hearing Committee

1. As soon as possible, but no later than 5 business days after receipt of the fellow's written notification, the site director (or their designee) will appoint a Hearing Committee. Every effort will be made to expedite the committee formation and process.

The Hearing Committee:

- a. Will be composed of no fewer than three members
 - b. Will include individuals from the training faculty, departmental administration and HR consultation
 - c. May include any appropriate licensed staff recommended by the fellow
 - d. Will **not** include the training director
 - e. In no case shall anyone who has participated in the decision in question up to this point be a member of this committee.
2. Within 10 business days from receipt of the fellow's written notification, the Hearing Committee will conduct a hearing in which all relevant material is presented. The fellow has the right to hear all facts about the concern, as well as to present supporting materials of his/her own. The fellow also has the right to dispute or explain the concerns presented.
 3. Within 10 business days from completion of the hearing, the Hearing Committee will make the final decision. Decisions will be made by majority vote of the committee, and submitted to the fellow and the training director. If they chose, the fellow can appeal the decision to the regional training director.

Appeal

If a fellow is dissatisfied with the Hearing Committee's decision, they may appeal the decision to the regional training director (or their designee), who will consult with management personnel other than those who participated on the committee. The fellow must submit their written appeal, along with a copy of their original written challenge to the regional training director within 10 business days from the date of the Hearing Committee's decision. This written appeal shall include the following information:

1. Name of fellow
2. Current date
3. Date and description of Hearing Committee decision under appeal
4. Description of fellow's disagreement and basis for appeal

Appeal Review

Within 5 business days after receipt of appeal, the regional training director (or their designee) will review the decision along with the fellow's appeal and either accept or reject the committee's recommendations:

- If the regional training director accepts the Hearing Committee's recommendations, they will inform the training director who, in turn, will inform the fellow and supervisors of the decision. The fellow may appeal the regional training director's final decision by contacting Human Resources consultant and their departmental manager.

- If the regional training director rejects the Hearing Committee's recommendations, they may either: refer the matter back to the Hearing Committee for further consideration (such as the gathering of further documentation); or make a final decision. The regional training director will inform the training director of the rescission, who, in turn, will inform the fellow and supervisors.

Appendix H

KAISER PERMANENTE NORTHERN CALIFORNIA POST-MASTER'S FELLOWSHIP PROGRAMS

ACSW/AMFT FELLOW PROGRAM SURVEY

Training Year: _____

Check One: Mid Year _____
End of Year _____

Training Site: _____

Date: _____

EVALUATION INSTRUCTIONS

This form is designed to allow the fellow to evaluate the program over a range of professional domains, using the Likert scale, below.

- | | | |
|----------|-----------------------------|--|
| 1 | Inadequate | Program never meets my expectations* |
| 2 | Needs Improvement | Program sometimes meets my expectations* |
| 3 | Meets Expectations | Program consistently meets my expectations |
| 4 | Exceeds Expectations | Program often exceeds my expectations |

SEMINARS AND SUPERVISORS

Ratings

- | | |
|--|---------|
| 1. How would you rate the quality of the weekly seminars at your site? | 1 2 3 4 |
| 2. How would you rate the quality of the regional seminars? | 1 2 3 4 |
| 3. How would you rate the quality of your individual primary supervision? | 1 2 3 4 |
| 4. How would you rate the quality of your secondary supervision? | 1 2 3 4 |
| 5. How would you rate the quality of your group supervision? | 1 2 3 4 |
| 6. How would you rate the overall training received during your fellowship year? | 1 2 3 4 |
| 7. How would you rate the quality of resources available to you, such as the web-based Clinical Library and the Best Practices models, and the availability of senior staff members? | |
| 8. Was your training graduated in complexity during the year? | 1 2 3 4 |
| 9. Did you feel welcomed and treated with respect by the professional staff at your site during year? | 1 2 3 4 |

FOUNDATIONAL COMPETENCIES

Goals	Sub Areas/Objectives	Behavioral Anchors	Ratings
1: PROFESSIONALISM	Professional Identity	I have been encouraged to take responsibility for my own actions and to practice within my competence	1 2 3 4
		I have been encouraged to take responsibility for ongoing learning and training opportunities	1 2 3 4
	Department	I have been encouraged to take responsibility for professional behavior in the work environment	1 2 3 4
	Accountability	I have been given sufficient training in completing documentation and organizing my own workload	1 2 3 4

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2: REFLECTIVE PRACTICE/SELF-ASSESSMENT	Reflective Practice	I have been supported in developing problem-solving skills, critical thinking and organized reasoning skills	1	2	3	4
		I have been encouraged to consider my own transference and counter-transference issues	1	2	3	4
	Self-Assessment	I have been encouraged to explore my own strengths and those areas which need further development	1	2	3	4
	Self-Care	I have been given support to practice ongoing self-assessment and good self-care	1	2	3	4

3: CULTURALLY SENSITIVE PRACTICE	Awareness of one's own bias: self, others, and the interaction as shaped by individual and cultural diversity (e.g., cultural, individual, and role difference, including those based on age, gender, gender identity, race, ethnicity, culture, national origin, religion, sexual orientation, disability, language, and socioeconomic status) and context	I have been encouraged to independently apply knowledge, skills and attitudes regarding dimensions of diversity to my professional work	1	2	3	4
	Applications based on individual and cultural context	I have been encouraged to independently monitor and apply knowledge of diversity to patient treatment	1	2	3	4

4: ETHICS	Knowledge of ethical, legal, and professional standards and guidelines	The program emphasizes the application of knowledge of ethical, legal and professional standards, and NACSW and CAMFT ethical standards as well as California laws	1	2	3	4
------------------	--	--	---	---	---	---

5: INTERDISCIPLINARY SYSTEMS AND RELATIONSHIPS	Functioning in multidisciplinary and interdisciplinary contexts	I have been encouraged to develop and maintain effective relationships with a wide range of patients, colleagues, organizations and communities	1	2	3	4
		The program offers opportunities for me to communicate effectively with other professionals	1	2	3	4
		I have been encouraged to contribute as a fully participating team member	1	2	3	4

FUNCTIONAL COMPETENCIES			
Goals	Sub Areas/Objectives	Behavioral Anchors	Ratings
6: THERAPEUTIC RELATIONSHIPS	Interpersonal Relationships and Affective Skills	I have learned to tolerate and understand interpersonal conflict, ambiguity and uncertainty	1 2 3 4
		I have been encouraged to develop awareness of my own affect	1 2 3 4
		I have learned to accept feedback	1 2 3 4

7: INTERVENTION	Counseling Skills and Treatment Planning	I have developed competence in performing mental status examinations	1 2 3 4
		I have developed competence in performing substance abuse assessment	1 2 3 4
		I have been trained to enhance my diagnostic skills	1 2 3 4
		I have been given the opportunity to demonstrate clinical skills with a wide variety of patients	1 2 3 4
		I have been trained how to set realistic treatment goals with patients that incorporate empirical models	1 2 3 4
	Risk Assessment	I have been trained to enhance my abilities to evaluate and respond to risk, child/elder abuse and domestic violence	1 2 3 4
		I have developed competence in performing assessments for child/elder abuse and domestic violence	1 2 3 4
		I have been instructed on Tarasoff guidelines	1 2 3 4
	Progress Evaluation	I have developed competence in understanding methods that examine intervention outcomes	1 2 3 4

PLEASE WRITE **COMMENTS** BELOW--THANK YOU!

Appendix I

**KAISER PERMANENTE NORTHERN CALIFORNIA
POST-MASTER'S FELLOWSHIP PROGRAMS**

_____ Consortium Seminar Evaluation

Title of Seminar:

Date:

Instructor(s):

Please use the following key to answer questions 1-10:

Absolutely--5 Somewhat--4 Uncertain--3 Probably Not--2 Absolutely Not--1

- 1. Was seminar consistent with its objectives and title? _____
- 2. Was seminar appropriately challenging? _____
- 3. Did seminar expand your knowledge in this topic? _____
- 4. Was the seminar taught at the promised level? _____
- 5. Were cultural and diversity issues integrated into the presentation? _____
- 6. Was material relevant to Mental Health professional activities? _____
- 7. Was/were instructor(s) well-informed on subject matter? _____
- 8. Was/were the instructor(s) well prepared? _____
- 9. Was/were instructor(s) attentive to questions? _____
- 10. Would you attend another seminar given by this instructor? _____
- 11. How would you rate the overall value of the program? (circle one): _____

Excellent Good Fair Poor

12. Suggestions for future seminar topics? _____

13. Please list two insights that you have gained from this seminar.

14. Additional comments are welcomed. Use reverse side of this sheet if needed.

Appendix J

KAISER PERMANENTE NORTHERN CALIFORNIA POST-MASTER'S FELLOWSHIP PROGRAMS

DISPUTE RESOLUTION FOR ACSW/AMFT FELLOWSHIP TRAINING STAFF

POLICY STATEMENT

If a training supervisor has any disagreement with another supervisor, another training faculty member or a fellow, or wishes to dispute a matter of program policy, he/she will be encouraged to communicate openly with his/her training director about the issue. The procedure for this is outlined, below. At any time before or during the procedure, the training supervisor may discuss his/her concerns about the issue directly with a Human Resources Consultant.

If the issue is not resolved to the training supervisor's satisfaction, the training director, the training director and/or departmental manager may become involved in the resolution process. Also, KP provides a process to secure impartial and prompt disposition of disputes. Training supervisors will not be subject to reprisal in any form as a result of participating in this dispute resolution process.

PURPOSE

This policy is intended to facilitate prompt resolution of a problem identified by a training supervisor as requiring attention and/or resolution.

COVERAGE

These procedures apply to all training staff participating in Kaiser Permanente Northern California Mental Health Training Programs.

PROVISIONS

KP will make these policies available for viewing on the programs' web pages.

None of the meetings involved in the following procedure may be electronically recorded.

PROCEDURES

STEP 1

The training supervisor should first discuss the problem with the person with whom the problem is identified, if possible. The training supervisor is responsible for specifically describing how he/she intends to gain satisfactory resolution in the area identified.

If the initial discussion proves unsatisfactory to the training supervisor, he/she should address the issue fully with the training director. The training director is responsible for offering ideas for resolving the issue, and providing the supervisor with a time estimate in which to expect a response if one cannot be provided immediately. The training director will then gather any needed information and respond to the training supervisor verbally or in writing. The response will be given in a timely manner, usually within 10 business days after the discussion.

STEP 2

If Step 1 has been completed, and the issue has not been resolved to the training supervisor's satisfaction, the training supervisor may contact the manager and the training director, detailing his/her concerns. Departmental managers and training directors should follow the procedure outlined above, in Step 1, for the training director, including meeting with the training supervisor, establishing a time estimate for a response, conducting any necessary investigation, and responding to the training supervisor. The response should be given within 20 business days after the discussion.

Appendix K

KAISER PERMANENTE NORTHERN CALIFORNIA POST-MASTER'S FELLOWSHIP PROGRAMS

Welcome Letter

Date _____

Dear _____

We are pleased to welcome you to the ACSW Fellowship Program in the Department of Psychiatry at Kaiser Permanente, _____ (medical center training site). We believe that this will be a rewarding year in which you will be able to expand professionally.

You will be working at _____ (full street address), and reporting to _____ (staff member).

Fellowship Term: September X, 20XX - September X, 20XX

Total Hours: You will be scheduled to work _____ hours per week. Your schedule will include some evening and weekend hours. It is expected that you will work all of your hours.

Contingent Offer Letter: You will be receiving a Contingent Offer Letter from our Human Resources Recruitment Department which will outline employment contingencies and pay.

California Board of Behavioral Sciences (BBS) Requirements: Before your fellowship begins, you must register with the BBS as an Associate Clinical Social Worker (ACSW). Information regarding registration can be found at: <http://www.bbs.ca.gov/pdf/forms/lcs/ACSWapp.pdf>

Along with your supervisor, you will also need to complete the Responsibility Statement for Supervisors. This form can be found on the BBS website at: <http://www.bbs.ca.gov/pdf/forms/lcs/lcrespon.pdf>

Additionally, you must keep a record of your supervised hours. A log for these hours can be found on the BBS website at: <http://www.bbs.ca.gov/pdf/forms/lcs/ACSWlog.pdf>

You will be contacted by your training director prior to the beginning of the training year to develop your training schedule. You should anticipate a very intense and fast-paced year of training.

Please sign and return this welcome letter to your training director by fax at _____ (fax number) or email at _____ (email address).

Fellow's Signature: _____

Date: _____

Training Director's Signature: _____

Date: _____

**KAISER PERMANENTE NORTHERN CALIFORNIA
POST-MASTER'S FELLOWSHIP PROGRAMS**

Welcome Letter

Date _____

Dear _____

We are pleased to welcome you to the AMFT Fellowship Program in the Department of Psychiatry at Kaiser Permanente, _____ (medical center training site). We believe that this will be a rewarding year in which you will be able to expand professionally.

You will be working at _____ (full street address), and reporting to _____ (staff member).

Fellowship Term: September X, 20XX - September X, 20XX

Total Hours: You will be scheduled to work _____ hours per week. Your schedule will include some evening and weekend hours. It is expected that you will work all of your hours.

Contingent Offer Letter: You will be receiving a Contingent Offer Letter from our Human Resources Recruitment Department which will outline employment contingencies and pay.

California Board of Behavioral Sciences (BBS) Requirements: Before your fellowship begins, you must register with the BBS as a Marriage and Family Therapist Fellow (AMFT). Information regarding registration can be found here

<http://www.bbs.ca.gov/pdf/forms/mft/imfapp.pdf>

Along with your supervisor, you will also need to complete the Responsibility Statement for Supervisors of Marriage and Family Therapist Trainee or Fellow. This form can be found on the BBS website at:

<http://www.bbs.ca.gov/pdf/forms/mft/mfrespon.pdf>

Additionally, you must keep a record of your supervised hours. A log for these hours can be found on the BBS website at: <http://www.bbs.ca.gov/pdf/forms/mft/mfwkylog.pdf>

You will be contacted by your training director prior to the beginning of the training year to develop your training schedule. You should anticipate a very intense and fast-paced year of training.

Please sign and return this welcome letter to your training director by fax at _____ (fax number) or email at _____ (email address).

Fellow's Signature: _____

Date: _____

Training Director's Signature: _____

Date: _____

Appendix L



**The Permanente Medical Group, Inc.
NOTICE OF PROVISION OF PSYCHOLOGICAL TREATMENT SERVICES BY
A REGISTERED ASSOCIATE CLINICAL SOCIAL WORKER (ACSW)**

This is to inform you that the psychological services you are receiving are provided by an Associate Clinical Social Worker fellow.

Fellow Name: _____, ACSW

Fellow Registration #: _____

Fellow Contact #: _____

Fellowship Completion Date: _____

This fellow is working under the supervision of:

Supervisor Name: _____, LCSW

Supervisor License #: _____,

Supervisor Contact #: _____,

in addition to other licensed staff members in the Department of Psychiatry, Kaiser Permanente Medical Group, Inc.

Appendix M



**The Permanente Medical Group, Inc.
NOTICE OF PROVISION OF PSYCHOLOGICAL TREATMENT SERVICES BY
A REGISTERED ASSOCIATE MARRIAGE & FAMILY THERAPIST (AMFT)**

This is to inform you that the psychological services you are receiving are provided by a Marriage and Family Therapist fellow:

Fellow Name: _____, AMFT

Fellow Registration #: _____

Fellow Contact #: _____

Fellowship Completion Date: _____

This fellow is working under the supervision of:

Supervisor Name: _____, LMFT

Supervisor License #: _____

Supervisor Contact #: _____

in addition to other licensed staff members in the Department of Psychiatry, Kaiser Permanente Medical Group, Inc

Appendix N

KAISER PERMANENTE NORTHERN CALIFORNIA MENTAL HEALTH TRAINING PROGRAMS

Tuition Reimbursement Guidelines for Mental Health Trainees 2017-2018 Training Year

The information listed in these guidelines is intended to highlight and augment, but not to replace the information located on MyHR, and in Kaiser Permanente (KP) Tuition Reimbursement (TR) policy, NCAL.HR.6.03. For complete information about tuition reimbursement policy and process, the reader is referred to the National Tuition Reimbursement Administration (NTRA) and the KP Career Planning web site at <http://www.kpcareerplanning.org/>

A. GENERAL INFORMATION

1. Please note that **these guidelines apply only to KP Mental Health Trainees**. The tuition Reimbursement policy for regular Kaiser employees varies slightly from this one.
2. To obtain this benefit, MH trainees must be **actively employed by KP for at least 90* contiguous days prior to attending any event or making any purchase for which they have applied for reimbursement**. For example, if a trainee's start date is September 6th, their "eligibility date" for obtaining TR benefits will be on or after December 6th of the same year. **An exception will be made for license-prep courses, workshops or materials, in which case the trainee's eligibility date is only 30 days after their start date.*
3. Any educational event for which the trainee seeks reimbursement **must begin on or after the trainee's "eligibility date" and must end before the trainee's last day of training**. This means that, if an event for which a trainee seeks reimbursement begins or ends after the trainee's last day at KP, the event is **not** reimbursable.
4. Any MH trainee (as well as any regular employee) who is scheduled to work 20 or more hours per week is eligible to receive a maximum of \$3000 in tuition reimbursement, per calendar year. Up to \$500 of this total may be spent on travel to educational events (see section 5.3.3.2 of the KPNC national policy, copied on page 2, below, for more information about travel reimbursement).
5. A MH trainee **must submit their TR application and obtain approval for reimbursement WELL BEFORE the course starts and they should submit it also before they plan to pay for it**. It is recommended that the trainee submit their application to the National Tuition Reimbursement Administration (NTRA) **a minimum of 8 weeks (2 months) before the course registration deadline, and well in advance of the course start date**. **By knowing in advance if they will be reimbursed for the course(s), the trainee can make an informed decision whether or not to purchase the course(s). A trainee can also submit their application before their eligibility date, so long as the event they wish to be reimbursed for occurs after their eligibility date.**
6. The MH trainee should talk with their manager about which approved courses/tools they are interested in taking/purchasing. Their **manager will need to approve** any TR application before it is submitted to the NTRA. Note: The TR application process requires TWO approvals: 1) from trainee's manager; and 2) from the NTRA.
7. The TR application is accessed and completed online at <http://www.kpcareerplanning.org/>
8. The average TR application processing time is 2 to 4 pay periods (4 to 8 weeks).

9. The MH trainee can monitor the status of their application online at <http://www.kpcareerplanning.org/>
10. Once the application is approved by both manager and NTRA, it may take an additional 2 to 4 pay periods (4 to 8 weeks) for the trainee to receive reimbursement, which occurs after the event, and after the trainee has submitted all of their supporting documentation, including invoice/statement of charges, grades and receipts.
11. **The trainee will have up to 90 days after the end of the course to submit the documentation described in item (9), above. If the trainee is no longer employed by KP at the time that they receive their final documentation** pertaining to an approved reimbursement, they should contact the NTRA office to arrange for sending their documents and obtaining reimbursement (see NTRA contact information in section D of this document).

B. WHAT IS REIMBURSABLE?

PLEASE NOTE: For any purchase to be reimbursable by NTRA, it must provide the purchaser with credits/units/hours.

I. All KP Employees

1. The following policy sections have been excerpted from KPNC TR Policy **NCAL.HR.6.03**, and pertain to all KP employees, including paid trainees. The complete policy is available on My HR.

5.1.2.1 Eligible courses are those offered through an educational institution which has been accredited by the Western Association of Schools and Colleges (WASC) or a regional/local equivalent. Courses offered through the KP School of Allied Health Sciences are also considered eligible courses. Course(s) are to be taken for academic credit (units). A course must be completed with a grade of "C" or better, or "Pass" in cases of "Pass-Fail" or for "Credit" in cases of "Credit/No Credit."

5.1.2.3 Also eligible for reimbursement are courses, certificate programs, workshops, seminars, professional conferences, educational meetings, and special events taken/attended for continuing education (i.e., CEU, PDU, CME, Contact Hours) in order to advance skills and obtain or maintain position-required licensure, degrees, or certification, provided they are taken at an accredited institution, professional society, or governmental agency or authorized by these organizations to deliver credentials on their behalf.

5.3.3.2 Travel, room/lodging expenses up to \$500 per calendar year, which is limited to expenses for courses identified in section 5.1.2.3. [NOTE: The \$500 is included in the \$2,300 or \$3,000 reimbursement maximum and is not available for college undergraduate or graduate degree programs. Only certain travel expenses are reimbursable. See additional information on MyHR, under Education Assistance, including how to submit a travel application and supporting documents.

Please note that, in order for the MH trainee to apply for travel reimbursement, they must first access the Continuing Education (CE) section of the online TR application. The NTRA is working to change this so that in the future, MH trainees may apply without first going through the CE section, since this section has no bearing on their applications.

2. Covered expenses are limited to:
 - Tuition
 - Books
 - Laboratory fees
 - Course registration fees
 - Eligible travel (see 5.3.3.2, shown above)
3. **Licensing examination fees are specifically excluded from reimbursement coverage.**

II. **Mental Health Trainees:**

The following reimbursable items pertain to mental health trainees:

1. **School Tuition:** MH interns, such as Pre-Masters and Doctoral Interns, who are currently enrolled in academic programs, can apply to have their tuition reimbursed.
2. **Pre-Licensure Coursework:** Before they are eligible to register for their licensure exams and/or obtain their licenses, ASWs, MFTIs and Postdoctoral Residents are required by the California Board of Behavioral Sciences or Board of Psychology to complete certain pre-licensure coursework. After their TR eligibility date, should a trainee plan to take any of the courses listed in the **Addendum** at the end of this document, that are pertinent to their licensure, these courses are reimbursable through TR, **provided that the courses award credits, units or hours.**
3. **Exam Prep:**
As mentioned above in section A-4, trainees should submit their TR applications and have them approved before making their purchase, in cases where their decision to make the purchase is contingent on its reimbursability.

The information listed below pertains to prep resources for the following exams:

- *LCSW-SWLE (Law & Ethics Exam)*
- *LCSW-SWCE (Clinical Exam)*
- *MFT-LE (Law & Ethics Exam)*
- *MFT-CE (Clinical Exam)*
- *EPPP*
- *CPLEE*

PLEASE NOTE:

- **Licensing examination fees are specifically excluded from any reimbursement coverage.**
- **The NTRA will only reimburse exam prep items if they are purchased from AATBS:**
AATBS is the only non-academic provider of these courses/workshops/materials that meets the NTRA criteria for approval.
 - a. **Workshops** that prepare participants for licensing examinations **must award credits, units or hours** to be reimbursable. The trainee must upload their certificate of completion showing credits earned for the workshop to NTRA as part of their supporting materials.
 - i. The automated certificate for the **EPPP 4-Day workshop** is issued the following week after completion of the event. For all other workshops, please email Kevin Norton at AATBS (knorton@aatbs.com 805-665-5105) after completion of the event. Once attendance is verified, a certificate of completion will be emailed to the participant.
 - ii. The certificate of completion for the **online self-paced workshop** is issued 30 days* after it is purchased. The trainee is responsible for contacting Kevin Norton at AATBS (knorton@aatbs.com 805-665-5105) and requesting Kevin to email them a certificate for the workshop (*no sooner than 30 days; no later than the end of the training year). All current trainees' name have been submitted in advance, to Kevin.
 - b. **Packages that Include Workshop and Study Materials:** In order for you to be reimbursed for your purchase of a package that includes a workshop and study materials, you must upload documentation for **each package item** into your existing TR case as part of your supporting materials. Documentation must attest to the completion of credits, units or hours for each item.
 - i. Workshop Certificates: See Sections II.3.a.i and a.ii, above, for information on workshop certificates.
 - ii. Study Material Certificates: The certificate of completion for the **study materials** is issued 30 days* after they are purchased (*no sooner than 30 days; no later than the

end of the training year). *The trainee is responsible for contacting Kevin Norton at AATBS (knorton@aatbs.com 805-665-5105) and requesting Kevin to email them certificates for all study materials included in the package.* All current trainees' names have been submitted in advance, to Kevin.

- iii. The trainee must upload ALL certificates of completion for the package to NTRA as part of their supporting materials (i.e., for workshop, study materials, etc.).
- c. **Packages with Exam Study Materials Only (i.e., no workshop included), are: 1) only reimbursable to Mental Health Trainees (i.e., not to regular KP employees); 2) only for licensing exams listed in B.II.3., above; and 3) only under the following conditions:**
 - i. **The trainee must complete and pass the exam before the end of their training year.**
 - ii. After they pass their exam, the trainee is responsible for contacting Kevin Norton at AATBS (knorton@aatbs.com 805-665-5105). Trainee must :
 - Provide AATBS with their passing score
 - Request that Kevin email them certificate(s) for the study materials
 - iii. AATBS will then award them with a certificate showing credits earned for each item purchased.
 - iv. The trainee must upload the certificate(s) into their existing TR case, as their supporting documentation.

4. **Other courses/classes/workshops:** Other courses/classes/workshops that pertain to the fields of mental and behavioral health, psychology and social work, that award credits, units or hours, **and that are approved by trainee's manager** are reimbursable, as long as the course/workshop/program that the trainee plans to participate meets NTRA criteria (see 5.1.2.1 in Section B.I.1, above). Although trainees cannot earn continuing education (CE) units, as they are not licensed, this will not prevent them from being reimbursed.

C. TUITION REIMBURSEMENT APPLICATION & TRACKING

I. Applying for Tuition Reimbursement

To apply for tuition reimbursement, go to <http://www.kpcareerplanning.org/>

II. Viewing Application Status and Submitting Supporting Materials

- a) To view application status, log into MyHR or go to <http://www.kpcareerplanning.org/>. Click on the green bar "View Reimbursement Request Status". Application status will be one of the following, as described below:
 - "Submitted" = No one has approved yet
 - "Manager accepted" = Manager approval received; NTRA still needs to approve
 - "Approved" = Manager & NTRA have approved
 - "Denied" = NTRA denied
 - "Pending receipts" = NTRA needs receipts—see (b), below
 - "Pending grades" = NTRA needs proof of completion—see (b), below
 - "Documents missing" = Both the receipt and the proof of completion are missing—see (b), below
- b) Supporting Documentation
Instead of faxing the required supporting materials/documents, the trainee is advised to upload these documents (such as invoices and receipts of completion) and only in a non-editable e-file format, e.g., PDF (as opposed to MSWord).

D. NATIONAL TUITION REIMBURSEMENT ADMINISTRATION (NTRA)

KP's National Tuition Reimbursement Administration (NTRA) approves courses that a) help the employee in their current position (vertical growth), or b) are part of an established career path within Kaiser Permanente (horizontal growth). 99% of all applications are approved, as long as the employee meets eligibility requirements. NTRA administers the regional TR program and makes variance determinations on situations that don't fall cleanly into the defined categories.

NTRA phones are answered Monday through Friday, from 7:00 am to 4:00 pm, Pacific Time. Be sure to identify yourself as a Northern California Mental Health trainee, when calling.

Phone: 1-866-480-4480

Fax: 1-877-201-0081

E-mail: National-TRA@kp.org

(See next page for addendum to this policy.)

**Addendum to Tuition Reimbursement Guidelines for Mental Health Trainees
Required Courses for Mental Health Licensing Examinations
that are Reimbursable Through TR:**

ASW

(The following requirements can be found at http://www.bbs.ca.gov/app-reg/lcs_requirement.shtml)

1. Child Abuse Assessment and Reporting (7 hours)
2. Human Sexuality (10 hours)
3. Alcoholism and Chemical Substance Dependency (1 semester unit course with no less than 15 hours of classroom training)
4. Spousal or Partner Abuse Assessment, Detection and Intervention Strategies (15 hours for those who entered a degree program on or after 1/1/2004; course can be any length for those who entered a degree program from 1/1/1995 to 12/31/2003)
5. Aging and Long-Term Care, and Elder/Dependent Adult Abuse (10 hours only for those who entered a degree program on or after 1/1/2004; for all others, this is not a pre-licensure requirement)
6. California Law and Professional Ethics for Clinical Social Workers (18 hours of coursework that includes all pertinent subjects as listed on the BBS website) This requirement only pertains to ASWs with out-of-state experience or education.

MFTI

(The following requirements can be found at http://www.bbs.ca.gov/app-reg/mft_requirement.shtml; However, please refer to web page for further details on timeframes regarding all MFT licensure requirements.)

1. Child Abuse Assessment and Reporting (7 hours)
2. Human Sexuality (10 hours)
3. Alcoholism and Chemical Substance Abuse Dependency (15 hours must be taken in qualifying degree program)
4. Spousal/Partner Abuse Detection and Intervention (15 hours for those who entered degree program on or after 1/1/2004; Course can be any length for those who entered a qualifying degree program between 1/1/1995 to 12/31/2003: Must be taken in qualifying degree program.)
5. Psychological Testing (2 semester units or 3 quarter units only for those who entered a qualifying degree program on or after 1/1/2001)
6. Psychopharmacology (2 semester units or 3 quarter units only for those who entered a qualifying degree program on or after 1/1/2001)
7. California Law and Professional Ethics (2 semester or 3 quarter units)
8. Aging and Long Term Care (10 hours only for those who entered a degree program on or after 1/1/2004; For all others this is not a pre-licensure requirement)

Psychology Postdoctoral Resident

(The following requirements can be found at <http://www.psychology.ca.gov/licensees/faq.shtml>)

1. Human Sexuality (10 hours)
2. Child Abuse Assessment and Reporting (7 hours)
3. Substance Abuse Detection and Treatment (equivalent of one quarter or semester term or 15 contact hours)
4. Spousal or Partner Abuse Assessment, Detection and Intervention (15 hours)
5. Aging and Long-Term Care (10 hours)

Appendix O

KAISER PERMANENTE NORTHERN CALIFORNIA POST-MASTER'S FELLOWSHIP PROGRAMS

GENERIC LETTER OF COMPLETION

[To be printed on Letterhead of KP department/medical center that includes address]

[Date]

Dear **[Full name of trainee]**:

Congratulations on your successful completion of **[XXXX]** hours of supervised training at Kaiser Permanente **[Program Name]** at **[Location, CA]**. This letter is to certify that you have completed all of the requirements of the training program and that you are considered to be in good standing in the program.

{Choose and modify one of the following two sentences, which you can then place as the last sentence of the above paragraph}

You effectively completed your training on the **[XXXXXX]** Team, which included general clinic duties pertaining to that team.

OR

In addition to completing [e.g., “**general clinic duties**”] on the **[XXXXXX]** Team, you also completed (a) rotation(s) in **[Intensive Outpatient Program; Emergency Department; Behavioral Medicine; Chemical Dependency Recovery Program; Eating Disorders; etc]**. For your community partnership project, you completed XX hours engaged in **[project description, including name and location of agency(cies) they worked with]**.

It has been a sincere pleasure having you in our program. We wish you all the best in your future endeavors.

Sincerely,

[Signature of Training Director]

[Name of Training Director]

[Title of Training Director (e.g., Director of Training)]

[Name and Location of Training Program]

Appendix P



KAISER PERMANENTE NORTHERN CALIFORNIA
MENTAL HEALTH TRAINING PROGRAMS

**BUSINESS PLAN APPLICATION
FOR CREATING A NEW or EXPANDING AN EXISTING MENTAL HEALTH TRAINING PROGRAM:
POST-MASTER'S FELLOWSHIPS**

To be completed by the Requestor and emailed to Kathryn.Wetzler@kp.org

REQUESTOR INFORMATION	
Requestor Name:	
Requestor Email Address:	
Requestor Office Phone:	
Department and Location of new/existing training program:	
Address of Location:	

PROGRAM RECRUITMENT AND RETENTION OF FELLOWS		
Please provide a description of your recruitment strategy for hiring and retention of Fellows:		
Please identify the School(s) from which your Fellows will be recruited:		
TIMELINE FOR RECRUITMENT		
Posting of Positions	Interview Period	Last Date for Hiring
<i>Mid-December</i>	<i>January-March</i>	<i>July 15th</i>

BUSINESS PLAN APPLICATION, POST-MASTER'S FELLOWSHIPS, PAGE 2

INDIVIDUAL AND GROUP SUPERVISION OF POST-MASTER'S FELLOWS		
INDIVIDUAL SUPERVISION: Each Fellow must have one primary and one secondary supervisor assigned to them, for a total of two hours per week.		
Supervisor Name and Credentials:	Supervisor Skills, Knowledge and Attitudes:	How Supervisor plans to remain current with changes in the field:
Back-up Supervision Policy: Please provide an outline of your backup supervision policy, to be initiated when a primary and/or secondary supervisor is not at the clinic.		
GROUP SUPERVISION: Each Fellow must have two hours of group supervision each week.		
Please provide an outline of the structure and content of Group Supervision:		

PROGRAM CURRICULUM
Didactics (2 hours per week): Please attach a list of the didactics schedule for the training year.
Community Partnership Projects (32 hours per year): Please attach an outline of Community Partnership projects, in which each Fellow will be participating for 32 hours over the course of the training year.

BUSINESS PLAN APPLICATION, POST-MASTER'S FELLOWSHIPS, PAGE 3

PROGRAM ADMINISTRATION	
Please provide a description of how your management plans to support the program:	
Please provide a description of how you will ensure that all training faculty have read and are aware of the Policy and Procedure Manual and are familiar with the web site:	
Acknowledgment that program will submit a list, to the Regional Director, of candidates to be interviewed for Training Director position, when appropriate:	(signature of Requestor)
Acknowledgment that Training Director commits to attending two regional meetings per training year, held in Oakland:	(signature of Requestor)

ADDITIONAL INFORMATION PROVIDED BY REQUESTOR (OPTIONAL)