

Policy and Procedure Manual

Psychology Practicum Externship and Social Work, Marriage & Family Therapy and Counseling Pre-Master's Internship Programs 2023-2024

**Issued by Kathryn Wetzler, PsyD,
Regional Director, Mental Health Training Programs
Kaiser Permanente Northern California
Department of Mental Health
1761 Broadway Street, Suite 100, Vallejo, CA 94589
Kathryn.Wetzler@kp.org**

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**PSYCHOLOGY PRACTICUM EXTERNSHIP AND
SOCIAL WORK, MARRIAGE AND FAMILY THERAPY AND COUNSELING
PRE-MASTER'S INTERSHIP PROGRAMS

POLICY AND PROCEDURE MANUAL**

1. MENTAL HEALTH TRAINING PROGRAM OVERVIEW

The Psychology Practicum Externships, and Social Work, Marriage and Family Therapy and Counseling Pre-Master's Internships are funded by Kaiser Permanente Northern California (KPNC) and are compliant with state and national guidelines. The programs are comprised of nine psychology externship sites and five pre-master's internship sites located within the northern California region. The part-time positions (16 to 24 hours/week) begin between July and September and are designed to be completed in 9 to 12 months. KPNC trainees who complete an 8-month minimum training time commitment are paid an annual stipend for their service provision. KPNC trainees in the KP Counseling Center do not receive a stipend.

This manual provides the policies and procedures applicable to all trainees and to training faculty. It is posted on the Regional Mental Health Training Programs website at <https://mentalhealthtraining-ncal.kaiserpermanente.org/>, the official bulletin board of the training programs. This website contains information such as the history of our programs, descriptions of training sites and rotations, faculty profiles, and stipend information.

1.01 Mission Statement

Kaiser Permanente is an integrated managed care consortium, based in Oakland, California, founded in 1945 by industrialist Henry J. Kaiser and physician Sidney Garfield. Kaiser Permanente operates in eight states and the District of Columbia and is the largest managed care organization in the United States, serving over 12 million members nationally, including 4.5 million members in northern California. Care for members and patients is focused on total health and is guided by personal physicians, specialists, and teams of caregivers.

Kaiser Permanente's stated mission is to provide efficient, affordable, high-quality, evidence-based, health care while supporting continuous quality improvement. The organization is dedicated to care innovation, clinical research, health education and improving community health.

The psychology practicum externships' and pre-master's mental health internships' mission statements declare a commitment "to training graduate students within an integrated health care system, in order to prepare them for dynamic roles as practicing mental health professionals in the health care system of the future."

1.02 Program Admission Requirements and Procedures

KPNC site training directors work with the graduate schools' field placement coordinators to recruit appropriate candidates. The Training Programs encourage applications from individuals who

come from diverse, underserved, or disadvantaged backgrounds. All applicants who meet general criteria for the program are included in the selection pool. Candidates must present with prior experience conducting outpatient psychotherapy in their school's onsite clinic or in a mental health agency or hospital setting.

Applications are reviewed by the training faculty in the order received and qualified candidates are identified and invited for interview. Interviews take place in early spring for the term beginning in September. All psychology trainees are required to participate in the Bay Area Practicum Information Collaborative (BAPIC) electronic matching process.

Psychology Practicum Externs must be enrolled in a Ph.D., Psy.D, or Ed.D. program accredited by the American Psychological Association and must be in their third, fourth, or fifth year of graduate studies. Neuropsychology Practicum Externs must have completed or be concurrently enrolled in neuropsychology coursework by the practicum's start date.

Pre-Master's Clinical Social Work, Marriage and Family Therapy and Counseling Interns must be matriculated at an accredited academic institution and in their second year of studies. Clinical Social Work Interns must be enrolled in a graduate program accredited by the Council on Social Work Education (CSWE).

2. PROGRAM CURRICULUM

2.01 Training Schedule Overview

In creating a schedule for the trainee, the site director works closely with the trainee and departmental staff. Major and minor rotations include Outpatient Psychiatry, the Intensive Outpatient Program (IOP), the Eating Disorders team, the Emergency Department, Addiction Medicine Recovery Services (AMRS) and Behavioral Medicine. Neuropsychology externs will not be assigned to major or minor rotations given the demands of their subspecialty focus.

Requirements vary between departments; however, trainees are not typically scheduled to work at night or on the weekends. Exceptions can be made if the trainee prefers to work outside of normal business hours if appropriate supervision is available and if the rotation is in keeping with a specific training goal. For example, AMRS may offer weekend training hours, but in no case shall a trainee be scheduled to work more than the hours agreed upon weekly by the KPNC site training director and the trainee's graduate school. Trainees are expected to be present and available during all scheduled hours.

Services provided by trainees may include but are not limited to intake evaluations, individual and family psychotherapy, co-facilitation of treatment groups, psychoeducation and consultation, and psychological/neuropsychological assessment (the latter for psychology and neuropsychology practicum externs only). The remaining hours are spent in activities such as weekly individual and group supervision, didactic seminars and departmental/team meetings. Each trainee should have no less than two hours of Indirect Patient Care (IPC) hours per week in their schedule for patient charting and administrative duties.

As their academic and training schedule permits, trainees are invited to attend regional seminars held in Oakland. Current seminar schedules and a list of speakers and topics can be found on the Regional Mental Health Training Programs Website. Each program may have additional training seminars with participation at the Training Director's discretion.

2.02 Administrative Support and Office Resources.

Each of the medical centers has its own clerical and technical support staff to assist trainees during their tenure at the assigned clinic. Administrative support staff can be utilized to help schedule patient appointments, respond to phone messages, track patient paperwork, and provide assistance with other tasks as needed. The individual departments offer trainees the use of translation services, copy machines, telephones, computers, and technical support.

Every trainee will be provided with a KP desktop or laptop computer to enable them to work on-site/in the office or remotely as their schedule requires. Trainees can access the internet, electronic periodicals, KPNC's intranet, as well as a variety of online medical and psychological databases. These online databases include Medline, Micromedix (an internal medical database search engine), PsycInfo, and evidence-based practice manuals for anxiety, depression, eating disorders, domestic violence, and other treatment areas. KPNC's information technology support is accessible to all trainees through a telephone help line. Office software such as word processing and slide-show presentation programs are also available.

At all training sites, trainees are provided with offices to meet with patients, receive and answer phone messages and schedule appointments within a confidential setting. Larger rooms are available to provide group or family therapy. Trainees working with children have access to playrooms and/or offices equipped with toys and games. Additional training resources (which vary by site) include one-way mirrors and audio and video recording equipment.

Each medical center campus is equipped with conference rooms, a cafeteria and in some locations exercise rooms. Conference rooms for training seminars are also available at the Kaiser Regional headquarters in Oakland. Each medical center has its own medical library, with librarians available for research assistance. The Regional library service includes access to KPNC's inter-library loan service which is connected to all the major university and research institution libraries, both domestic and foreign.

2.03 Diversity, Inclusion and Culturally Competent Care

Diversity issues are considered in every aspect of training as each medical center and clinic serves diverse and unique member populations that include differences in age, disability status, race, ethnicity, immigration experiences, gender, gender identity and expression, sexual orientation, religion and spirituality, socioeconomic status, and family life. Through targeted seminar topics, supervision and clinical work, trainees are informed and sensitized to diversity issues to prepare them to provide effective and culturally responsive mental health treatment.

The Regional Mental Health Training Program's Equity, Inclusion and Diversity Committee organizes advanced trainings that promote cultural competency and cultural sensitivity. The trainings are designed to support all trainees and provide them with a safe space to reflect on their experiences without judgment. Prior to each regional seminar, a diversity forum is held with expert speakers from the community and from within Kaiser Permanente on topics impacting trainees' clinical work and professional development. Forum topics have included immigration, micro-aggressions, unconscious bias, and gender-affirming care.

All trainees are required to sign the Kaiser Permanente Mental Health Training Programs' Values Statement (Appendix A) at the beginning of the year, indicating that they are willing to work with any patient who presents for treatment, except in cases where the trainee's personal physical safety is actively threatened or where the clinical competence of both the trainee and the supervisor would compromise patient care.

2.04 Psychotherapy Training for Pre-Master's Interns

Marriage and family therapy, clinical social work, and counseling trainees are taught evidence-based psychotherapy practices through didactic seminars and case supervision. In addition, they are trained in Feedback Informed Care (FIC), an innovative approach to mental health treatment in which patients and therapists use patient reported information to track treatment progress and outcomes as well as the therapeutic alliance. This approach has been found to significantly improve outcomes.

At each visit, patients' complete questionnaires from Tridium, an electronic behavioral health platform. These questionnaires cover important clinical domains such as psychiatric symptoms, subjective wellbeing, functional disability, medication adherence and treatment response. The information gathered allows therapists and patients to assess whether to continue a current therapy or whether to modify treatment.

There are three distinct, graduated phases of skills acquisition which pre-master's Interns follow during the training year. The date of completion of each phase is documented by the supervisor and this documentation is placed in the student's file.

Phase I

1. Shadowing of licensed staff members.
2. Orientations: PARRS; HealthConnect; Departmental orientations; Policy and Procedure Manual.
3. Graduate program's Training/Learning Agreement completed
4. Supervisor and site director to ensure that the following competencies are met before the student begins treating patients by completing the Prerequisites Checklist (Appendix B):
 - Mental Status Examination
 - 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

Phase II:

1. Sitting in or co-facilitating groups; documenting the group notes and discussing notes with supervisor.
2. Sitting in or co-performing intakes; documenting the intake and discussing documentation with supervisor.
3. Pre-master's intern's readiness to see clients individually will be determined by the supervisor. This determination will be based on a) training faculty completion of the prerequisites checklist; and b) information gathered by any evaluation tool that the

educational institutions have provided to supervisors to assess whether the student has attained a satisfactory level of skill.

Phase III

1. Patients are screened in-person by licensed therapists, who then assign cases to pre-master's interns based on their judgment that the case will not exceed the interns' competence ("warm cases"); OR pre-master's interns perform intakes after cases are vetted by the supervisor ("lukewarm cases").
2. Pre-master's interns and supervisors perform weekly reviews of active cases, including risk management.
3. Pre-master's interns are directed to immediately escalate concerns about risk to a supervisor (or designee).
4. If there is a question of self-harm, harm to others, or serious psychological decompensation, the procedure will be as follows: for patients in office, an urgent evaluation will be performed by a licensed clinician; for patients out of office, patient will be contacted and asked to come in for an urgent evaluation to be performed by a licensed clinician.
5. Pre-master's interns will only co-facilitate groups with permanent staff members; they will not lead groups alone.
6. Pre-master's interns will complete process recordings or make audio or video recordings of therapy sessions to present to supervisor.

2.05 Psychotherapy and Psychological Assessment Training for Practicum Externs

Psychology Practicum Externs are taught evidence-based psychotherapy practices through didactic seminars and case supervision. In addition, they are trained in Feedback Informed Care (FIC), an innovative approach to mental health treatment in which patients and therapists use patient reported information to track treatment progress and outcomes as well as the therapeutic alliance. This approach has been found to significantly improve outcomes.

At each visit, patients' complete questionnaires from Tridium, an electronic behavioral health platform. These questionnaires cover important clinical domains such as psychiatric symptoms, subjective wellbeing, functional disability, medication adherence and treatment response. The information gathered allows therapists and patients to assess whether to continue a current therapy or whether to modify treatment.

Neuropsychology externs and patients are not asked to complete Tridium questionnaires given that neuropsychological treatment/intervention outcomes are not evaluated by this procedure.

Training in psychological assessment involves understanding referral questions, selecting assessment methods, collecting background information, administering, scoring, and interpreting measures, formulating hypotheses, assigning diagnoses, and recommending interventions. Psychology and Neuropsychology Practicum Externs will observe supervisors administering psychological and neuropsychological testing batteries before administering batteries to patients independently.

Psychology Practicum Externs will only conduct assessments in which they have appropriate training. Specialized assessments, such as neuropsychological testing for diagnostic purposes,

for example, should only be performed and interpreted under the supervision of individuals who are privileged as neuropsychologists at the local medical center. Assessments which are specific to various Health Psychology applications such as in primary care settings, should only be conducted and interpreted under the direction of supervisors who have appropriate training. Psychological Assessment supervisors are to abide by the regulations established by the APA Ethical Principles of Psychologists and Code of Conduct Sections 9.01-9.11 on Assessment.

Testing materials are available at each site and include standard psychometric and neuropsychological measures as well as computer programs to aid in the scoring of tests. In addition, externs have access to commonly used paper and pencil measures. The psychological assessment supervisor is responsible for training the extern in testing procedures and determining the appropriate measures to be used in each case.

Each extern is required to obtain written informed consent from the patient for psychological/neuropsychological assessment (Appendix C) which states that the extern is in training and working under the license of a staff psychologist supervisor.

3. SUPERVISION OF CLINICAL TRAINING HOURS

3.01 MHTP Training Requirements for Practicum Extern Supervisors

KPNC Regional Mental Health Training Programs require that supervisors of psychology practicum externs adhere to the same Board of Psychology (BOP) continuing education (CE) requirements as KPNC supervisors of psychology postdoctoral residents and psychology doctoral interns. The BOP requires that primary supervisors of these advanced psychology trainees complete a six-hour continuing education course in supervision during each license renewal cycle (every two years).

3.02 MHTP Training Requirements for Pre-Master's Intern Supervisors

KPNC Regional Mental Health Training Programs require that supervisors of Pre-Master's Interns adhere to the same Board of Behavioral Sciences (BBS) continuing education (CE) requirements as KPNC supervisors of associate social workers (ASWs), associate marriage and family therapists (AMFTs) and associate professional clinical counselors (APCCs). All BBS-licensed mental health professionals supervising for the first time in California must complete a fifteen-hour course in supervision within 60 days of commencing supervision. Individuals who have not supervised for two years or more must take a six-hour supervision course within 60 days of resuming supervision. All supervisors thereafter must complete six hours of continuing professional development in supervision during each license renewal cycle (every two years).

3.03 BBS Requirements for Supervisors of MFT Trainees

1. Supervisors of MFT Trainees (Pre-Master's MFT Interns) must have been licensed and practicing psychotherapy for two out of the last five years OR have provided direct supervision for two years out of the last five years prior to the commencement of supervision.

2. The BBS Supervision Agreement must be completed, signed, and dated by the primary supervisor no later than the first day of the training year. A single form is used for all trainee/associate types with a space to indicate trainee type including MFT trainee. The supervisor should give the original document to the trainee, who retains them for submission later when applying for licensure.

To print a copy of the BBS Supervision Agreement, go to: [Supervision Agreement \(ca.gov\)](http://SupervisionAgreement.ca.gov)

3. The Remote Supervision Agreement (Appendix J) should be completed, signed, and dated at the same time as the completion of the BBS Supervision Agreement. To complete the agreement, the supervisor must meet with the supervisee to determine whether remote supervision is an appropriate format for the supervisee. The Remote Supervision Agreement can be completed as a stand-alone document or can be copied and embedded into the Supervisory Plan section of the BBS Supervision Agreement.

4. Supervisors who began supervising one or more trainees after January 1, 2022, must submit a one-time BBS Supervisor Self-Assessment Report Form to the BBS within 60 days of commencing any supervision. Supervisors who were supervising one or more trainees prior to January 1, 2022, must submit a Supervisor Self-Assessment Report Form to the BBS by January 1, 2023

Access the Supervisor Self-Assessment Report Form here: [Supervisor Self-Assessment app](#)

3.04 Graduate School Training Agreement

A training agreement provided by the graduate school must be signed and dated by the KPNC site director and/or primary supervisor and/or school field placement coordinator and/or trainee before training commences. Pre-Master's Interns will receive regularly scheduled, face-to-face, individual, or triadic supervision of no less than one hour per week by an LCSW, LMFT or LPCC, or licensed psychologist throughout the year for every 5 hours of direct patient care. KPNC supervisors must meet the training agreement requirements for supervisors of the trainee's graduate school.

3.05 Supervised Clinical Hours Log

It is the responsibility of the trainee to keep a weekly supervised clinical experience log with hours verified by the supervisor's signature to document program participation. Trainees may use the Time2Track or another online tracking system, or a paper log.

3.06 Trainee Performance Evaluation Form

Each trainee's clinical and professional competencies will be evaluated by their supervisor quarterly or semiannually in accordance with the requirements of the graduate school. The trainee's graduate school will provide KPNC supervisors with evaluation forms which should be utilized according to the school's field placement policies.

3.07 Methods of Supervision

Psychology Practicum Externs will receive regularly scheduled, face-to-face, individual supervision of no less than one hour per week by a licensed psychologist throughout the year. They may also receive supplemental, tiered, individual supervision from Psychology Post-Doctoral Residents, who are themselves under the supervision of licensed psychologists.

Pre-Master's Interns will receive regularly scheduled, face-to-face, individual supervision of no less than one hour per week by an LCSW, LMFT or LPCC throughout the year. Supervisors must provide two hours of individual supervision for every 20 hours of trainee service provision, at minimum.

The functions of the supervisor include monitoring patient welfare, enhancing the trainee's clinical skills, promoting professional growth, evaluating their progress, and providing feedback. The supervisor serves as both mentor and monitor/guide for the trainee's clinical work and professional development during their tenure at KPNC. Each trainee always has access to their supervisor (or

designee), via phone or pager, in case of emergency. The trainee will be expected to adjust his/her/their scheduled time off in accordance with the availability of the supervisor.

All trainees will receive one hour per week of group supervision facilitated by a licensed clinician. Topics of group supervision may include case consultation, professional development, interdisciplinary communication and systems issues, and multicultural competence and diversity awareness.

Evaluation of trainee professional competencies must be based on direct observation at least once each quarter and/or during each rotation. Direct observation by the supervisor may be completed live and in-person (e.g., in-room co-therapy with patient, co-led group therapy, in-room observation of an intake evaluation, one-way mirror observation), or by audio-video streaming, or through audio or video recording. If requested to audiotape, videotape, or otherwise record a patient session, trainees should download the Consent and Authorization form to be signed by trainee and patient, from the "Resources" section of the following web page: <https://wiki.kp.org/wiki/display/CMI/Video+Ethnography+Tool+Kit>

3.08 Mental Health Trainee Evaluation of Supervisors

Each trainee evaluates their supervisors quarterly or semi-annually based on rotations using the Supervisor Evaluation form (Appendix H). Data from this form is reviewed by the Site Training Director and is kept confidential; however, ratings of "1" (Does Not Meet My Expectations") or "2" ("Needs Improvement") will be brought to the supervisor's attention. Trainees and supervisors should review the Supervisor Evaluation form at the beginning of the training year to ensure a common understanding of the supervisory standards of the program. They are then encouraged to use the criteria on this form as a guide for discussion throughout the training year, and especially at the time of the trainee's performance evaluations.

4. MEDICAL-LEGAL ISSUES IN PATIENT CARE AND DOCUMENTATION

4.01 Patient Rights and Safety

A patient's rights and responsibilities, as outlined in the KPNC local policies and procedures manual, shall be observed at all times. Psychology Practicum Externs should review the California Board of Psychology's Patient Bill of Rights, by going to: http://www.psychology.ca.gov/forms_pubs/consumer_guide.pdf.

A patient's safety should be of utmost concern to all trainees and staff. For more information, go to: <http://kpnet.kp.org:81/california/qmrs/ps/>

4.02 Provision of Services by Externs and Pre-Masters Interns and Patient Consent

The title of a Pre-Doctoral Psychology Extern is "Psychology Practicum Extern." The title of a Pre-Master's Intern in Social Work is "Social Work Intern." The title of a Pre-Master's Intern in Marriage and Family Therapy is "Marriage and Family Therapy Intern." The title of a Pre-Master's Intern in Counseling is "Counseling Intern." Each trainee must clearly identify their title at the first meeting with any patient or potential patient. The trainee must also inform the patient or patient's guardian of the trainee's last day of training and name of supervisor.

The trainee must then document in the patient's electronic chart that the patient received the information, and that the patient gave (or refused to give) their consent to be seen by the trainee. The "dot phrase" to be used to note this in the patient's electronic chart is ".

traineeinformedconsent”. This dot phrase signifies that *“The patient 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 trainee may complete a “Notice of Provision of Mental Health Treatment Services” by a Psychology Practicum Extern or Pre-Master's Mental Health Intern (Appendices F and G) and provide it to the patient and/or guardian for their reference.

Patients may refuse therapy or request to be seen by a licensed staff member. In such cases, the trainee must document the patient’s refusal in the electronic chart, noting that treatment was explained, alternative treatment options were offered, and the consequences of declining treatment were discussed.

Any misrepresentation of professional identification (for example, as a licensed practitioner) is a violation California state law, Kaiser Permanente policy, and the ethic’s code.

4.03 Notification to Supervisor Regarding Treatment of a Minor

Pursuant to California AB 1808, as an unlicensed provider, a mental health trainee is required to notify their supervisor before or after any visit in which the trainee treats a minor aged 12-17 years old, individually or in a group session, regardless of whether the minor is accompanied by a parent or guardian. This notification must occur within 24 hours, in writing, unless the trainee believes the minor to be a danger to self or others. If a danger is present, the trainee must notify their supervisor verbally during the session or immediately after the session. Management will determine an appropriate workflow to ensure that this requirement is met, and the trainee is expected to adhere to department guidelines.

4.04 Signing Legal Documents as Witnesses for Patients

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

4.05 Responding to Legal Documents

Receipt of a subpoena, a summons from a court, a 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 site training director and the trainee's supervisor. Trainees are not to respond to any requests for documents without explicit instructions from the supervisor(s) and/or training director.

4.06 Medical Record Confidentiality: CMIA and HIPPA

All trainees must abide by standards set forth by the California Confidentiality of Medical Information Act (CMIA) and by the Health Insurance Portability and Accountability Act of 1996 (HIPAA). Obligations regarding confidentiality can be found at:

<https://onecompliance.kaiserpermanente.org/northern-california/policies-procedures/>.

Patient information is confidential and protected by law. Accessing the medical records of patients other than those treated by the trainee is strictly prohibited and grounds for termination. Medical

record confidentiality laws also prohibit the trainee from accessing the chart(s) of their own family member(s).

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

In the event of a privacy breach or potential breach, the trainee is expected to inform the supervisor, the training director and/or a department manager immediately. Failure to comply with this expectation may result in remedial or corrective action up to and including termination.

4.07 Online Charting in KP HealthConnect

All medical centers use the same database for online charting called KP HealthConnect. Through HealthConnect, trainees can access hospital records and perform online charting, as well as respond to consultation requests electronically. Trainees are expected whenever possible to incorporate Tridium behavioral health outcomes data, gathered electronically at each patient visit, into treatment planning. Trainees are responsible for receiving training in the use of these databases. Entries into the mental health record, for example, must include only approved abbreviations and symbols.

The patient's treatment progress is to be documented at each contact. The record should be sufficiently detailed and organized in accordance with departmental standards so that a staff member can provide appropriate and effective care to the patient. A well-maintained patient record allows a staff member, at a later date, to determine the patient's condition, as well as to review the diagnostic and therapeutic interventions that were implemented. Any changes in the condition of the patient and/or in the results of treatment must be documented. The record should enable another clinician to assume care of the patient at any time and allow for appropriate care coordination.

4.08 Signing and Closing of Chart Notes by Supervisor

All Trainees should enter patient documentation and notes into HealthConnect immediately after each patient contact session and forward the notes to their supervisor. All notes should be completed as soon as possible after the clinical encounter. The supervisor will review the resident's notes and may make recommendations to the resident. If necessary, the resident will modify the notes accordingly. After approving the notes, the supervisor will enter the CPT code and co-sign and close the notes no later than the end of the next business day (by midnight).

5. DUE PROCESS: REMEDIATION AND APPEAL PROCEDURES

The training program's due process policy provides a framework to address the situation in which an extern/intern is not meeting expected performance standards. It ensures that the training program adheres to fair and unbiased evaluation and remediation procedures, and that the extern/intern is given an opportunity to appeal the program's decisions. For all remedial actions, training faculty will maintain clear written records (e.g., memos and/or narratives of meetings) describing what transpired, including any plans that were implemented, with time frames and outcomes.

5.01 Rights of Practicum Externs and Premaster's Interns

1. To be informed of the expectations, goals, and objectives of the doctoral internship program.
2. To be trained by professionals who behave in accordance with the ethical guidelines of their respective professional organizations: the American Psychological Association (APA), the National Association of Social Workers (NASW), the American Association of Marriage and Family Therapists (AAMFT), the California Association of Marriage and Family Therapists (CAMFT) and the American Counseling Association (ACA).
3. To be treated with professional respect in keeping with their level of training.
4. To have individual training needs identified and documented.
5. To receive ongoing evaluation that is specific, respectful, and pertinent. To be informed in a timely manner if they are not meeting program standards.
6. To engage in ongoing evaluation of the training program supervisors. The training program will conduct formal surveys at least twice a year.
7. To utilize due process procedures for concerns related to performance standards so that the extern/intern's viewpoint is considered, and so that the extern/intern has an opportunity to remediate problems to successfully complete the program.
8. To utilize grievance procedures to resolve non-evaluation-related problems and disputes that may arise during the training year.
9. To be granted privacy and respect for one's personal life including respect for one's uniqueness and differences.

5.02 Responsibilities of Practicum Externs and Premaster's Interns

1. To function within the bounds of all state and federal laws and regulations, as well as APA, NASW, AAMFT, CAMFT, or ACA ethical and professional practice standards.
2. To adhere to the policies and procedures of KPNC, including KP's Principles of Responsibility. This information is presented during the orientation period and can be accessed through the KPNC web site, MyHR, located as a link at <http://insidekp.kp.org/ncal/portal/>, and/or by contacting a KPNC Human Resources consultant.
3. To adhere to the policies and procedures of the KPNC Practicum Externship and Premaster's Internship Programs as outlined in this manual; and to adhere to the policies and procedures of the extern/intern's assigned work department or clinic.
4. To attend and participate in didactic trainings and seminars, staff meetings, case conferences and individual and group supervision meetings.

5. To maintain professional, collegial interactions in the workplace, including offering constructive feedback and being receptive to feedback.

5.03 Practicum Externship and Premaster's Internship Program Responsibilities

1. To provide information regarding laws, standards, and guidelines governing the practice of psychology/counseling and to provide forums to discuss the implementation of such standards.
2. To ensure that faculty and staff engage with externs/interns and each other in a respectful, professional, and ethical manner.
3. To promote diversity and inclusion in the workplace.
4. To provide high quality clinical experiences, supervision, and didactic trainings and seminars.
5. To provide opportunities for externs/interns to offer input into the training program, including their supervisory experiences, through meetings with training directors and semi-annual written evaluations.
6. To communicate program expectations, and standards for evaluation, including how externs/interns will be evaluated and by whom.
7. To provide externs/interns with written and verbal feedback in weekly supervision meetings and in quarterly written evaluations so that they may improve their skills and address competency problems in a timely manner.
8. To communicate with externs/interns' graduate schools about how they are progressing in training and whether they are meeting the minimum levels of achievement. To inform the externs'/interns' graduate schools of any remedial actions taken regarding their performance.
9. To implement due process and grievance procedures for problems related to extern/intern competencies and professional functioning, program standards, and interpersonal disputes. To allow externs/interns sufficient time to appeal decisions with which they disagree.
10. To make decisions about extern/intern remediation, probation, suspension, and termination utilizing multiple sources of information. To develop remediation plans for performance deficiencies with time frames, and to clearly communicate to externs/interns the consequences of not correcting the deficiencies.
11. To make accommodations for special training needs for externs/interns who qualify under the American with Disabilities Act.

5.04 Definition of Problematic Behavior

A problematic behavior interferes with an extern's/intern's professional competence and is defined by:

- a) An inability or unwillingness to acquire and integrate professional standards into one's repertoire of professional behavior.
- b) An inability to and/or unwillingness to acquire professional skills to reach an acceptable level of competence; and/or
- c) An inability and/or unwillingness to control personal stress, psychological problems and/or excessive emotional reactions which interfere with professional functioning.

Training faculty should use their professional judgement in determining when an extern's/ intern's behaviors, attitudes or characteristics have become problematic. Problematic Behaviors may include the following features:

- a) The extern/intern does not acknowledge, understand, or address the problem when it is identified.
- b) The problem is not merely a reflection of a skill deficit, which can be rectified by clinical or didactic training.
- c) The quality of services delivered by the extern/intern is sufficiently negatively affected
- d) The problem is not restricted to one area of professional functioning.
- e) A disproportionate amount of attention and time by training faculty is required to address the problem,
- f) The extern's/intern's behavior does not change as a function of feedback, remediation efforts, and/or time.
- g) The behavior has potential legal or ethical ramifications if not addressed
- h) The behavior potentially causes harm to patients.
- i) The behavior negatively impacts the public view of Kaiser Permanente.
- j) The behavior negatively impacts the training cohort or clinic staff.

5.05 Informal Discussion

The first step in the due process procedure is Informal Discussion which is used to address performance or behavioral concern(s) that do not rise to the level of a Problematic Behavior. The extern's/intern's supervisor is responsible for providing the extern/intern with feedback about their progress during regularly scheduled supervision meetings throughout the year. If a concern arises, the supervisor should inform, advise, and/or coach the extern/intern to enable them to successfully address the concern. The extern/intern should be given a time frame in which to correct the concern and may be provided with additional support over subsequent supervision meetings. Any staff member who observes the extern/intern to be out of compliance with a policy or procedure should inform the extern's/intern's supervisor or the site training director. The extern's/intern's supervisor and/or site training director will document their discussion(s) with the

extern/intern in their supervision notes. These notes will not become part of the extern's/intern's official training file.

5.06 Formal Notification and Hearing

If an extern's/intern's professional conduct, professional development or performance issues persist even after an Informal Discussion or if the extern/intern demonstrates a Problematic Behavior at any point in the training year, then formal due process procedures will be initiated as follows:

- 1) The extern's/intern's supervisor or other concerned staff member(s) will first consult with the site training director to discuss the issue. The site training director may interview others with relevant information and/or may seek the guidance of HR administrators or the department manager. The site director will Notify the extern/intern in writing that a performance or behavioral concern has been raised to the level of formal review and that a Hearing will be held.
- 2) As soon as possible, but no later than ten (10) business days after the extern/intern receives a Notice of Hearing, the site director (or their designee) will appoint a Hearing Committee and schedule a Hearing. Every effort will be made to expedite the committee formation and hearing process. The committee will be composed of no fewer than two members, typically the site training director and the supervisor. Depending on the scope and seriousness of the issue, the Hearing Committee may also include other members of the training faculty, departmental staff, and/or an HR consultant. The extern/intern may also invite any appropriate licensed KP staff member to attend.
- 3) At the Hearing, committee members will discuss the competency issue(s) fully, openly, and candidly with the extern/intern. The extern/intern has a right to dispute or explain the concern(s) presented and may provide a written statement or supporting materials of their own. Within five (5) business days from the completion of the Hearing, the committee will determine an Outcome and the site director and supervisor will present the Outcome to the extern/ intern. Possible hearing outcomes are as follows:
 - a) The extern/intern was found to be meeting expected performance and conduct standards and no further action is needed.
 - b) The extern/intern has demonstrated performance or conduct concerns, but they were not significant enough to warrant formal remediation. The concerns will be monitored according to the Informal Discussion process described above.
 - c) The extern/intern has demonstrated minor competency deficits. To address these deficits, the extern/intern will be placed on a remediation plan called "Focused Competency Guidance."
 - d) The extern/intern has demonstrated major competency deficits. An extern/intern with serious performance or conduct problems may be placed on Probation, which is also a form of remediation.
 - e) The extern/intern has demonstrated major competency deficits involving potential harm to a patient, gross misconduct, legal violations, or serious policy or ethical code violations. Any extern/intern demonstrating such behaviors may be suspended from the training

program. The site training director and training faculty will follow KPNC HR policies in this situation.

5.07 Outcome of the Hearing

The Training Director and supervisor will communicate the Outcome of the Hearing to the extern/intern both verbally and in writing. The extern/intern will be presented with an “Acknowledgement of Hearing Notice” for outcomes resulting in 1) no further action/return to routine supervision or 2) Focused Competency Guidance.

The essential components of an Acknowledgement of Hearing Notice are:

1. Date of the Hearing and names of the participants.
2. Description of the extern’s/intern’s unsatisfactory performance and date in which the concerns were first brought to the extern’s/intern’s attention.
3. Identification of the targeted competency area(s).
4. Decision of the Hearing Committee with regard to the competency concerns and whether a remediation plan was recommended.
5. When Focused Competency Guidance is recommended - an outline of measures to be undertaken to remediate performance, including but not limited to schedule modification, provision of opportunities for extra supervision and/or attendance at additional seminars and/or other training activities, and/or recommendations of training resources.
6. Criteria and procedures for determining whether the problem has been adequately addressed.
7. Consequences for unsuccessful outcome (which may include the initiation of Probation)
8. Timeline for Remediation plan completion.

For an outcome resulting in Probation, the extern/intern will be presented with a “Letter of Warning” (see section 5.09). For an outcome resulting in Suspension, the extern/intern will be presented with a “Suspension Letter” (see section 5.10).

The extern/intern, site training director, and department manager (if appropriate) will be required to sign the letter or notice. A copy of the document will be provided to the extern/intern and to the extern’s/intern’s graduate school and will be placed in the extern/intern’s training file. If an extern/intern is dissatisfied with the Hearing Committee’s decision, the extern/intern may appeal the decision by following the Appeal Procedure found in section 5.11.

5.08 Focused Competency Guidance

During the hearing outcome meeting, the supervisor and the site training director will present a Focused Competency Guidance plan (Appendix D) to the extern/intern which also includes a recording of the concern(s) in narrative form. The supervisor will review the competencies to be targeted and the remedial actions recommended by the Hearing Committee (for example, didactic trainings, closer mentoring, structured readings, simulated clinical practice etc.).

The Hearing Committee may also recommend Schedule Modification which includes several possible and concurrent courses of action such as: (a) increasing the amount of supervision,

either with the same or different supervisor(s); (b) changing the format, emphasis and/or focus of supervision; (c) recommending personal therapy; (d) reducing the extern's/intern's clinical or other workload; and (e) requiring specific academic course work.

The guidance plan should include a timeline for reassessment of the identified concerns. After all unmet performance standards have been rectified, the supervisor in consultation with the site training director, will remove the extern/intern from Focused Competency Guidance and indicate the date of successful completion on the guidance plan document.

The Focused Competency Guidance plan must be signed and dated by the supervisor and extern/intern during the initial and follow-up meetings. The supervisor and site director will provide the extern/intern and the extern's/intern's graduate school with copies of the plan. A copy will also be placed in the extern's/intern's training file.

5.09 Probation

Externs/Interns who have serious competency-related concerns, or who have not corrected identified concerns after a Focused Competency Guidance plan may be placed on Probation. The decision to place an extern/intern on Probation is made by the Hearing Committee; or in the case of an extern/intern who is still not meeting minimum levels of achievement at the time of a Focused Competency Guidance plan review, by the site training director and supervisor in consultation with the department manager, other training faculty and HR administration. Probation will include more closely scrutinized supervision for a specified length of time. The extern's/intern's graduate school will be notified of the Probation plan determination as soon as possible.

To initiate Probation, the site training director and supervisor, with input from other the training faculty, the department manager and HR consultant, will compose a "Letter of Warning" to the extern/intern outlining the program's concerns. This letter will also describe the consequence(s) of the extern's/intern's failure to show immediate and substantial improvement in the identified competency areas within the planned time frame.

The essential components of a **Letter of Warning** are:

1. Date of the Hearing and names of participants (if applicable).
2. Description of the extern's/intern's unsatisfactory performance and date in which the concerns were first brought to the extern's/intern's attention.
3. Identification of the targeted competency area(s).
4. Additional reasons for probation, if applicable (see KP National HR Policy on Corrective/Disciplinary Action, NATL.HR.014):
 - a. Severity of the violation
 - b. Number of violations and the dates that the violations occurred
 - c. Whether the violation was part of a pattern or practice of improper behavior or non-compliance

- d. The extern's/intern's past history of non-compliance
- e. Whether the extern/intern should have known the applicable policies, rules, or regulations
- f. Whether the violation was intentional or negligent
- g. Whether the action appeared to be committed for personal gain
- 5. Notification that this Probationary action may impact whether the extern's/intern's supervised hours will be found to be satisfactory
- 6. An outline of measures to be undertaken to remediate performance including any required Schedule Modification
- 7. Criteria and procedures for determining whether the problem has been adequately addressed
- 8. Consequences of an unsuccessful outcome (may include extension of the Probationary period, Suspension and/or Termination/Program Dismissal)
- 9. Timeline for Probation plan completion

The site training director and primary supervisor will meet with the extern/intern to review the Letter of Warning to ensure that the extern/intern fully understands the terms of the Probation. The extern/intern may invite any appropriate licensed KP staff member to attend the meeting. The extern/intern will be given an opportunity to respond to the letter and to the group's concerns. The site training director will inform the department manager, the HR consultant and the extern's/intern's graduate school of the proceedings of the meeting. The extern/intern and the extern's/intern's graduate school will be provided with copies of the letter and a copy will be placed in the extern's/intern's training file. If an extern/intern is dissatisfied with the Probation decision, the extern/intern may appeal it by following the Appeal Procedure found in section 5.12.

During the Letter of Warning meeting, the site training director and the supervisor will also present a Probation plan (Appendix E) to the extern/intern that includes a recording of the competency concern(s) and remedial actions recommended by the site director and training faculty. The plan must be signed and dated by the extern/intern, the supervisor, and the site training director. Copies will be provided to the extern/intern and to the extern's/intern's graduate school and a copy will be placed in the extern's/intern's training file. Within the time frame outlined in the plan, the extern's/intern's supervisor will evaluate the extern's/intern's progress and the supervisor will document their findings on the outcomes section of the plan.

When all unmet performance standards have been rectified, the site training director and supervisor, in consultation with other training faculty, the department manager, and the HR consultant, will remove the extern/intern from Probation and the site training director and supervisor will indicate the date of successful completion on the plan document. If the group determines that insufficient progress has been made by the end of the probationary period, the site training director will submit a written explanation of the group's concerns to the extern/intern. In addition, the site training director and department manager with input from the extern's/intern's supervisor and the HR consultant may recommend an extension of the Probation or may initiate

Suspension. Copies of the written explanation letter will be provided to the extern/intern and to the extern's/intern's graduate school and a copy will be placed in the extern's/intern's training file.

5.10 Suspension

Suspension of an extern/intern is a decision made by either the Hearing Committee; or in the case of an extern/intern who is not meeting minimum levels of achievement at the time of the Probation plan review, by the site training director and department manager with input from the training faculty, other departmental staff as appropriate, and HR administration. The extern's/intern's graduate institution will be notified of the Suspension as soon as possible. The extern/intern may be suspended from all or part of their usual and regular assignments in the training program.

Suspension of an extern/intern may be initiated as a result of the following:

1. The competency area(s) and/or behavior(s) of concern indicate(s) a question of patient endangerment, gross misconduct and/or criminal behavior. Factors to be considered include but are not limited to those listed in the Letter of Warning above.
2. After the probationary period, the extern/intern has not met expectations for improvement in the identified competency domain(s).
3. The extern/intern has failed to comply with state or federal laws, KPNC and/or mental health training program policies and procedures and/or professional association guidelines.
4. The removal of the extern/intern from the clinical service is in the best interests of the extern/intern, patients, staff and/or the training program.

To initiate Suspension, the site training director and department manager, with input from the training faculty, other departmental staff, and HR administration, will compose a Suspension Letter to the extern/ intern which addresses the following:

1. Date of the Hearing and names of participants (if applicable).
2. Description of the extern's/intern's unsatisfactory performance and dates in which the concerns were first brought to the extern's/intern's attention.
3. Identification of violation(s), including corresponding competency area(s). Additional factors to be documented include, but are not limited to, those listed in item four (4) of the Letter of Warning above.
4. Notice of Suspension and expected duration.

The site training director, department manager and supervisor will meet with the extern/intern to review the Suspension Letter to ensure that the extern/intern fully understands the terms of the Suspension. The extern/intern may invite any appropriate licensed KP staff member to attend the meeting. The site training director and department manager may either remove the extern/intern temporarily from direct service activities due to concerns for the welfare of patients or may place

the extern/intern on an administrative leave of absence. The extern/intern will be given an opportunity to respond to the concerns presented and to the Suspension decision.

The site training director and/or the department manager will inform HR administration and the extern's/intern's graduate school of the proceedings of the meeting. The extern/intern and the graduate school will be provided with copies of the Suspension Letter and a copy will be placed in the extern's/intern's training file. If an extern/intern is dissatisfied with the Suspension decision, the extern/intern may appeal it by following the Appeal Procedure found in section 5.12.

In the case of a suspension from direct service activities only, the site training director and training faculty will develop a remediation plan following the procedures described in section 5.08 and utilizing the Probation plan document found in Appendix E. The extern/intern may continue to participate in non-direct service activities such as individual and group supervision, case conferences, staff meetings, and didactic trainings and seminars as long as the extern's/intern's participation is productive for the extern/intern and for the training cohort. The plan must be signed by the site training director, primary supervisor, and extern/intern. Copies will be provided to the extern/intern and the extern's/intern's graduate school and a copy will be placed in the extern's/intern's training file.

If all identified concerns are rectified within the agreed upon time frame, the site training director and department manager with input from other training faculty, departmental staff, and HR administration, will determine when the extern/intern can resume direct service activities under probationary monitoring until minimum levels of achievement are met. A new Probation plan should be developed following the procedures described in section 5.08 above.

In the case of a very serious violation, the site training director and department manager in conjunction with HR administration may choose, with or without warning, to notify the extern/intern that they have been placed on administrative leave from the training program or to terminate the extern/intern from the training program

5.11 Termination and Program Dismissal

Termination of an extern/intern will be initiated if the competency area(s) and/or behavior(s) of concern indicate(s) a certainty of patient endangerment, gross misconduct and/or criminal behavior on the part of the extern/intern. Termination may also be invoked for any other egregious offense on the part of the extern/intern, including but not limited to:

1. Violation of federal or state laws, including HIPAA and CMIA, and in which imminent harm to a patient either physically or psychologically is a major factor.
2. Serious violation of KPNC policies, including training program policies and procedures or professional association guidelines.
3. Serious violation of the APA, NASW, AAMFT, CAMFT, or ACA 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 extern/intern is unable to complete the program due to serious physical, mental or emotional illness.
7. Serious or repeated act(s) or omission(s) compromising acceptable standards of patient care.

Termination involves the permanent withdrawal of all privileges associated with the Kaiser Permanente Northern California Psychology Practicum Externship Program or Social Work, Marriage & Family Therapy and Counseling Pre-Master's Internship Program. The decision to dismiss an extern/intern is not made lightly and is made by the site director, department manager, and HR consultant (as needed) with notice given the extern's/intern's graduate school.

The extern/intern will be informed of the decision in a letter that addresses the following.

1. Description of extern's/intern's unsatisfactory performance.
2. Identification of violation(s), including corresponding competency area(s) (and may include details listed in the Suspension Letter).
3. Notice that the extern/intern is dismissed from the training program and that some or all of the training hours were not successfully completed.
4. Expectation that the extern/intern will complete all patient documentation prior to leaving the training site.

If the extern/intern does not wish to appeal the termination decision, the extern/intern may choose to voluntarily resign from the training program.

5.12 Appeal Procedure

The purpose of the Appeal Procedure is to provide a mechanism by which all decisions made by the training program regarding an extern's/intern's performance evaluations and remediation plans, as well as an extern's/intern's status in the program, can be promptly and fairly reviewed. Extern's/Interns will not be subject to reprisal in any form as a result of participating in the Appeal Procedure.

In order to challenge a training program decision, the extern/intern must notify the site director in writing as soon as possible after receipt of the decision. This written notification shall include the following information:

1. Name of extern/intern
2. Current date
3. Date and description of decision under dispute

4. Explanation of extern'/intern's disagreement with decision, including supporting information
5. Description of the extern's/intern's objective/goal for resolving the dispute

As soon as possible, but no later than fifteen (15) business days after receipt of the extern's/intern'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 hearing process.

The Hearing Committee:

1. Will be composed of no fewer than three members
2. Will include individuals from the training faculty, departmental management, and HR administration as appropriate
3. May include any appropriate licensed KP staff members requested by the extern/intern
4. In no case shall any training faculty who has participated in the decision in question up to this point be a member of the committee.

Once the Hearing Committee members have been appointed, a hearing shall be conducted within fifteen (15) business days. The extern/intern has the right to hear all facts related to the concerns, as well as to present supporting materials of their own. The extern/intern also has the right to dispute or explain the concerns presented.

Within ten (10) business days from completion of the hearing, the Hearing Committee will make a final decision. Decisions will be made by majority vote of the committee members and be submitted to the extern/intern, the site training director, and to the extern's/intern's graduate school.

If an extern/intern 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 including those who were not part of the committee.

The extern/intern must submit their written appeal, along with a copy of the original written challenge to the regional training director within ten (10) business days from the date of the Hearing Committee's decision. This written appeal shall include the following information:

1. Name of extern/intern
2. Current date
3. Date and description of Hearing Committee decision under appeal
4. Explanation of extern's/intern's disagreement and basis for appeal
5. Resolution sought

Within ten (10) business days after receipt of the appeal, the regional training director (or designee) will review the decision along with the extern's/intern'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 site training director who, in turn, will inform the extern/intern, the supervisor, and the extern's/intern's graduate school of the decision. 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 to gather more information) or make a final decision at that time.

The regional training director will inform the site training director of any rescission. The site training director will in turn inform the extern/intern, the extern's/intern's graduate school, and the extern's/intern's supervisor and training faculty. The extern/intern may appeal the regional training director's final decision by contacting an HR consultant and the department manager

6.0 DISPUTE RESOLUTION POLICIES

6.01 Mental Health Trainee Grievance Overview

It is the goal of the Mental Health Training Programs to provide a learning environment that fosters congenial professional interactions among training faculty and trainees based on mutual respect. However, it is possible that situations will arise that cause trainees to file grievances. This policy is intended to facilitate the prompt resolution of a problem identified by a trainee as requiring attention. Trainees will not be subject to reprisal in any form as a result of utilizing this grievance procedure,

6.02 Verbal Grievance Communication

If a trainee has any disagreement with a supervisor, another staff member, a fellow trainee, or a matter of program policy, they will be encouraged to communicate openly with the person involved, if possible, or with their own supervisor first about the issue. At any time before or during this process, the trainee may discuss their concerns directly with the site training director and/or a department manager.

The trainee is responsible for communicating openly, specifically describing how they intend to gain satisfactory resolution to the problem. If the trainee has chosen to address the issue with their supervisor, the supervisor is responsible for exploring the issue fully with the trainee and offering ideas for resolving it. If the trainee is dissatisfied with the outcome of the verbal discussion, they are directed to follow the procedure for Written Grievance Communication as outlined below.

6.03 Written Grievance Communication

If the Verbal Grievance Communication has been utilized and the issue has not been resolved to the trainee's satisfaction, the trainee may submit a written document to the site training director and/or department manager (or designee), describing the grievance in detail. However, in no case shall any staff member who has participated in the Verbal Grievance Communication also participate in the review of the Written Grievance Communication.

As soon as possible, but no later than ten (10) business days from receipt of the written grievance, the site training director and/or department manager(s) should meet with the trainee (and supervisor, if appropriate) to discuss the issue. After this discussion, the site training director

and/or department manager(s) (or designee) will, if necessary, investigate and respond to the trainee's grievance in writing within ten (10) business days. If the trainee is dissatisfied with the outcome of the review of the Written Grievance Communication, the trainee is directed to follow the procedure for Grievance Appeal as outlined below.

6.04 Mental Health Trainee Grievance Appeal

If the Verbal and Written Grievance Communication procedures have been utilized and the issue has not been resolved to the trainee's satisfaction, the trainee may file a written Grievance Appeal with the regional training director and/or department manager(s). The regional training director may choose to appoint/designate the assistant regional training director or a senior service area training director to review the appeal and render a decision.

The trainee's appeal shall include the following information:

1. Name of trainee and training location
2. Current date
3. Copy of the original written grievance
4. Explanation of trainee's disagreement with the decision and basis for appeal
5. Resolution sought

As soon as possible, but no later than ten (10) business days from receipt of the grievance appeal, the regional training director (or designee) and/or department manager(s) should meet with the trainee to discuss the issue. In no case shall any staff member who has participated in the grievance processes up to this point also participate in the review of the appeal. After the discussion, the regional training director (or designee) and/or department manager(s) will, if necessary, investigate and respond to the trainee's appeal in writing within ten (10) business days.

Before responding to the trainee, the regional director (or designee) will meet with the site training director and/or department manager and supervisor to review the dispute and discuss the issues involved. Additionally, before responding, the regional training director (or designee) will review their findings with the trainee's graduate school field placement coordinator and an HR consultant and/or KP legal counsel, as appropriate.

6.05 Training Supervisor Dispute Resolution Overview

KPNC provides processes to secure impartial and prompt resolutions of disputes among staff members. If a training supervisor has a disagreement with another supervisor, a trainee or wishes to dispute a matter of program policy, they should utilize the process outlined below. Training supervisors will not be subject to reprisal in any form as a result of participating in this dispute resolution process.

At any time, the training supervisor may discuss their concerns about the issue directly with a Human Resources consultant. If the issue pertains to the department but not to the training program, the supervisor is directed to follow KPNC policy and to contact their local HR consultant for guidance.

6.06 Supervisor Dispute Resolution Procedure - 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 they intend to gain satisfactory resolution in the area identified.

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

6.07 Supervisor Dispute Resolution Procedure - 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 department manager and the regional training director (or designee) and detail their concerns. The department manager and the regional training director (or designee) should follow the procedure outlined in Step 1, including meeting with the site supervisor, establishing a time frame for response, conducting any necessary investigation, and responding to the training supervisor. The response should be given within twenty (20) business days after the discussion.

7. TRAINING FACULTY ROLES AND RESPONSIBILITIES

7.01 Supervisor Qualifications and Responsibilities

- Minimum of two (2) years of experience as a licensed psychologist, LCSW, LMFT or LPCC preferred
- Minimum of one (1) year of employment at the training site preferred
- Member of a professional association (i.e., APA, NASW, AAMFT, CAMFT, ACA)
- Relates to trainees, clinic colleagues, and department managers in a collegial and professional manner that is conducive to a positive learning environment
- Respects individual differences among trainees, including cultural or individual diversity issues
- Models ethical, professional behavior including recognition of and respect for differences among patients and colleagues
- Models' commitment to the mission of Kaiser Permanente
- Models' commitment to the mission and training model of the Mental Health Training Programs
- Maintains agreed upon times for supervision and consultation
- Clearly communicates expectations of trainees and gives appropriate timely feedback regarding their progress
- Consults regularly with other professional staff who may have contact with the trainees and provides knowledge about their competencies and general performance
- Contacts the training director when questions or concerns arise regarding trainees' program requirements
- Attends all program-related meetings and keeps abreast of any changes in the program that may impact the trainees and communicates these in a direct, timely fashion to reduce any inconvenience to the trainees
- Follows all outlined grievance policies and due processes if problems arise concerning trainees
- Supervisors must be in good standing within their department and must be approved by both the Training Director and departmental management

7.02 Site Training Director Qualifications

- Must work a minimum of 32 hours per week and be on site at least 4 days per week
- Minimum of five (5) years of experience as a licensed professional preferred
- Minimum of two (2) years of experience as a primary supervisor preferred
- Minimum of one (1) year of employment at the training site preferred
- For neuropsychology externships, the director must be designated a clinical neuropsychologist
- Member of a professional association (i.e., APA, NASW, AAMFT, CAMFT, ACA)
- American Board of Professional Psychology (ABPP) certification preferred for psychologists
- Evidence of effective, collaborative working relationships with trainees, training faculty, clinic management teams and KPNC local and 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, trainee seminars, etc.)
- Department managers may advise on site training director appointments; however, the Regional Mental Health Training Director conducts the interviews and makes the final selection

7.03 Site Training Director Responsibilities

- Reports to Northern California Regional Training Director
- Attends training program meetings, including regional meetings in Oakland, as well as teleconference regional meetings
- Coordinates and directs the training supervisors
- Ensures that program policies and procedures are followed and a high standard of training is maintained
- Ensures that support and resources for trainees and supervisors are provided
- Organizes the interview and selection process for new candidates
- Ensures timely quarterly or semi-annual performance evaluations of trainees
- Ensures timely evaluations of supervisors, utilizing the Trainee Evaluation of Supervisor
- Participates with department managers in decision-making on issues concerning trainee schedules, placements on teams and the candidate interview process
- Implements modifications to program per feedback from trainees and faculty
- Ensure that all termination and exit procedures are conducted at the conclusion of the training year, including returning all KP assets, completion of required exit survey sent by region, and conducting exit interview (optional -- sample exit interview questions can be found in Appendix I).
- Ensures availability and coverage during the interviewing of prospective candidates, during the on-boarding process of incoming trainees, and at other crucial periods of the training year.

7.04 Administrative Hours for Training Faculty – Regional Standards

- All supervisors are allocated a minimum of one hour per week for each trainee they supervise for chart review and note closing. This administrative time is in addition to the one hour face-to-face individual supervision time for each trainee.

- All site training directors are allocated three ½ hours per week including office hours of administrative time, funded by the clinic, to manage their programs
- Each training site receives administrative staff support hours funded by the Region.

At certain points in the year, including for interviews and on-boarding, training directors may need additional administrative time to effectively manage their programs. Department managers are asked to grant training directors schedule flexibility and to allow the necessary accommodations. Training directors in turn are asked to work closely with their department managers to ensure minimal impact on patient care and are expected to engage in their usual clinic duties as much as possible during these times of the year.

7.05 Training Program Administrative Meetings

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

- Weekly
Informal meetings among training director and supervisors
- Monthly
Formal Supervisor meetings among site training directors and supervisors to discuss the progress of the trainees, the curriculum and to develop plans and make decisions related to the administration of the program. Meeting minutes are recorded, distributed to attendees, and stored electronically by program coordinators.
- Semi-Annually
Regional meetings of all site training directors across the northern California region with the Regional Mental Health Training Director to discuss new program developments, curriculum changes, and other program administrative matters

7.06 Maintenance of Extern and Pre-Master's Intern Training Records

The site training director and program coordinator should establish a file for each trainee and review all documents prior to filing them. Training files must be treated confidentially, retained indefinitely, and stored securely for future reference and credentialing purposes. Files are maintained in either hard copy or in e-file format. If/when the training director and program coordinator run out of storage space for hard copy files, these files are scanned and archived as e-files and stored on a shared computer drive.

The training file should include the following documents:

1. Resume
2. Letters of Recommendation
3. Values Statement signed by the trainee
4. Copy of the graduate school training agreement, signed by all parties
5. Signed Student Checklist document attesting to completion of student pre-admission screenings
6. Graduate school evaluation forms (Quarterly or Semester)
7. Copies of all completed/signed summary of experience logs (Weekly/Quarterly or by Semester)
8. Documentation of any grievances, remediation, corrective actions, or due processes filed by or on behalf of the trainee, including the conclusions of such actions.

9. Any Relevant correspondence pertaining to the trainee
10. Redacted psychological/neuropsychological assessments if relevant

It is recommended that interview notes be kept in a separate file

Upon advance request, trainees may inspect their local training file in the presence of the site training director or a designated representative. The trainee may also request a correction of a record by submitting a request to the site training director who, in consultation with the department manager, will notify the trainee whether the request has been granted or denied. The training director will work with the regional training director and follow the regional director's recommendations if the trainee expresses any dissatisfaction with their record. The training director may also consult the graduate school field placement coordinator.

8. KAISER PERMANENTE HUMAN RESOURCE POLICIES

8.01 Finding Policies on inside KP and Contacting HRSC

The following are a sampling of KPNC's HR policies that pertain to trainees. These and other policies are listed on inside KP under the Workspace tab (<https://wiki.kp.org/wiki/display/por/Home>). To speak to a representative directly about any KPNC policy, contact the Human Resources Services Center (HRSC), at 1-877-457-4772.

- Harassment-Free Work Environment
- Equal Employment Opportunity (EEO)
- Accommodation for Disabilities (ADA)
- Drug Free Workplace
- Social Media Policy

In addition, trainees are expected to comply with all health and safety employment requirements such as an annual TB test, annual flu vaccination (or declination of vaccination), compliance training, and safety training. Failure to observe these regulatory standards may result in administrative leave until the standards are met.

8.02 KP Non-Discrimination and Harassment-Free Workplace Policies

The KPNC mental health training programs 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. This policy governs all employment, including hiring, compensation and benefits, assignment, discharge and all other terms and conditions of the residency. Additionally, it is the policy of KPNC to provide a work environment free of sexual and other forms of unlawful harassment. This policy applies to employees, applicants for employment and independent contractors, and includes managers, supervisors, physicians, co-workers, and non-employees.

8.03 Professional Appearance Policy

All mental health postdoctoral residents, doctoral interns, post-master's fellows, externs, and pre-master's interns (herein after referred to as "trainees" or "trainee") who work in clinical and non-clinical areas are expected to follow the Professional Appearance policy and project a well-groomed, professional image in order to:

- Allow for identification by patients, visitors, and other staff at your medical centers
- Provide safe patient care
- Protect staff from personal injury
- Demonstrate respect for Kaiser members and colleagues
- Represent Kaiser Permanente in a professional and business-like manner while recognizing we are a diverse community
- Enhance security within the medical centers and clinics

Exceptions to dress standards must be approved by senior leadership at each medical center and/or clinic.

Name Badges:

- Name Badges must be always worn and displayed above the waist and must be easily visible to patients, staff and other visitors to the medical centers and clinics.
- Name Badges must not be altered or covered and kept current and in good repair. No attachments or pins are allowed, unless they are KP, or healthcare related.
- If you affix your badge to a necklace lanyard, the lanyard must be consistent with Kaiser Permanente's brand (i.e., Thrive, KP HealthConnect, etc.). No other branding is allowed (i.e., professional sports teams, political messages, schools, etc.).

Workplace Professional Attire and Professional Appearance

- The general dress code for all services is "Workplace Professional." Informal clothing such as t-shirts, tank tops, shorts, sweatshirts, sweatpants, jogging clothes, and hats are not permitted. Dress should be conservative and should not have the intentional or unintentional effect of distracting the patient from the task of therapy and assessment.
- Earrings and jewelry that pose a possible risk of injury, and excessive piercing (including facial piercings), are not permitted.
- Jeans (denim) of any kind or color are not permitted.
- Hospital-provided scrubs are acceptable only for direct patient care roles where required by job description.
- Strong fragrances are prohibited.
- Shoes which are inappropriate to the extent that they put an individual at risk for needle sticks, heavy objects falling on their feet or expose them to blood and body fluids, shall not be worn. Any individual involved in direct patient care may not wear shoes that expose their toes and/or heels.
- All staff must keep their hair clean and neat. Rainbow colored hair (i.e., blue, green, purple or any combination of color) is not permitted. Facial hair is to be clean, neat, and well-groomed.
- If a laboratory coat is issued to a trainee, trainee should wear the coat when in the hospital, Emergency Department, or other inpatient setting. Lab coats are to be returned at the end of the training year.
- If a pager is issued to a trainee, the trainee is expected to carry it at all times when on site or traveling between sites. Pagers are to be returned at the end of the training year.
- Local policies at each medical center or clinic may include demands on dress that exceed the above. Trainees are expected to follow the professional appearance code requirements in their respective medical center or clinic.

*Please Note: the above expectations remain in place even when working virtually throughout the training year

Workplace Attire in Specialty Clinics

While working in certain departments (such as Behavioral Medicine), trainees who are placed in these departments are to be provided with the same attire as other mental health clinicians who work in these departments. For example, in departments where mental health staff typically wear white coats, trainees are asked to be provided with the same attire and apparel as their supervisory staff.

A trainee who does not meet the standards of Professional Appearance will be counseled and may be instructed to change clothing (including being sent home to change clothing, if necessary). If a trainee is counseled more than once about professional appearance, then the supervisor will inform the site training director who will begin remediation. Failure to follow the remediation plan may result in dismissal. Exceptions to this standard will be made for bona fide religious activities on a case-by-case basis.

8.04 Social Media Policy

Members of the training program (both trainees and faculty) who use social media (e.g., Instagram, Snapchat, Facebook, Twitter, etc.) and other forms of electronic communication should be mindful of how these communications may be perceived by patients, colleagues, training faculty and others. Trainees and faculty should make every effort to minimize material that may be deemed inappropriate for a mental health professional in a training program, including derogatory comments about the employer, inappropriate language, etc. In these mediums, all trainees and faculty are expected to abide by professional guidelines (e.g., APA, NASW, etc.) related to ethics and conduct.

To this end, it is recommended that all members of the training program set their security settings to “private” and consider limiting the amount of personal information posted on these sites. Patients should never be included as part of one’s social network, and any information that might lead to the identification of a patient or compromise patient confidentiality in any way is prohibited. If a trainee is reported doing or is depicted on a social media site or in an email as doing something unethical or illegal, that information may be used by the training program to determine corrective action, up to and including termination. Greetings on voicemail services and answering machines used for professional purposes should be thoughtfully constructed as directed by supervisors."

8.05 HR Job Codes and Titles for Mental Health Trainees

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

MHTP Trainee Job Code	MHTP Trainee Job Title	Primary HR Type Code	Primary HR Type "Job Title"
----	Psychology Practicum Extern	DU-Student	Psychologist Trainee
----	Pre-Master's Mental Health Intern	DU-Student	Mental Health 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 Intern [Associate Clinical Social Worker (ASW)]	CI	Psychiatric Social Worker Trainee

025472	Associate Post Masters MH Intern [Associate Marriage & Family Therapist (AMFT)]	DG	Marriage & Family Therapist Trainee
025472	Associate Post Masters MH Intern [Associate Professional Clinical Counselor (APCC)]	GC	Assoc Prof Clinical Counselor

9. KAISER PERMANENTE SUPPLEMENTAL PRACTICUM REQUIREMENTS

9.01 MHTP Supplemental Practicum Requirements

- Can participate in a variety of clinical opportunities including individual and group intervention, specialty clinics, assessment/testing, and research
- Minimum of 10-hour commitment
 - 12 hours worked requires 1 hour of face-to-face (video acceptable) individual, formal supervision with a licensed psychologist. The second hour can be group supervision, case consultation, etc.
 - May not exceed 24 hours per week
 - Didactics highly encouraged
- 12-month requirement (can be released sooner based on internship/subsequent practicum start dates)
- Trainees must have direct observation (video or audio recording, or live observation of appointment/group) once per quarter
- KPNC Trainees who complete an 8-month minimum training time commitment are paid an annual stipend for their service provision.

**These are KP MHTP minimum standards. Ensure Academic Institution guidelines are followed

Appendix A

Kaiser Permanente Mental Health Training Program Values Statement

Respect for diversity and values different from one's own is a core tenet of the Mental Health Training Program at Kaiser Permanente (KP). This value is also consistent with the guidelines set forth by the American Psychological Association's Ethical Principles and Code of Conduct (2002) and reflected in the Standards of Accreditation set forth by the APA (APA, 2016). Mental Health trainees within Kaiser Permanente provide services to a diverse patient population, often consisting of members of social groups different from their own. As such, we strive to treat a wide range of patients ethically and effectively from varying social backgrounds.

The Kaiser Permanente Mental Health Training Program (which includes postdoctoral residencies, doctoral internships, post-master's fellowships and psychology externships and pre-master's internships) exists within multicultural communities that contain people of diverse ethnic, racial, and socioeconomic backgrounds; national origins; religious, spiritual, and political beliefs; physical abilities; ages; genders; gender identities, sexual orientations, physical appearance and more. At KP, we believe that training programs are enriched by our collective openness to learning about others who are different from ourselves, as well as striving for acceptance of others. Mental health training faculty as well as trainees agree to work together to create training environments characterized by respect, trust, and safety. Additionally, training faculty and trainees are expected to be supportive and respectful of all individuals, including patients, staff, and peers, regardless of differences in background or worldviews.

The Kaiser Permanente Mental Health Training Program recognizes that no individual is free from all forms of prejudice or bias. Along these lines, we anticipate that each training environment will evidence a wide range of beliefs, behaviors, and attitudes. All members of the training programs (staff and trainees alike) are expected to be committed to the values of respect, equity, and inclusion. Furthermore, they are asked to demonstrate critical thinking and self-examination so that biases may be evaluated in light of scientific data and standards of the profession. Therefore, faculty and trainees alike are expected to exhibit a genuine desire to examine their own assumptions, attitudes, values, and behaviors and to work effectively with "cultural, individual and role differences including those based on age, gender, gender identity, race, ethnicity, culture, national origin, religion, sexual orientation, disability, language, and socioeconomic status" (APA Ethics Code, 2002, Principal E, p. 1063). In short, all members of the training program are expected to be willing to examine their own values and to gain knowledge and skills regardless of their beliefs, attitudes, and values.

Over the course of the training year, training faculty will engage in and model self-disclosure and introspection with their trainees as appropriate. This can include discussions around personal experiences, attitudes, beliefs, feelings, opinions, or personal histories. All members of the training program are committed to lifelong learning relative to multicultural competence. When deemed appropriate, self-disclosure is done in the service of optimizing patient care and improving professional knowledge, skills, and attitudes.

In summary, all members of the Kaiser Permanente Mental Health Training Program are committed to a training process that facilitates the development of professionally relevant knowledge and skills focused on working effectively with all individuals inclusive of demographics, beliefs, attitudes, and values. Members agree to engage in a mutually supportive process that examines the effects of one's beliefs, attitudes, and values on one's work with all clients. Such training processes are consistent with Kaiser Permanente's core values, respect for diversity and for values similar and different from one's own.

As an incoming mental health trainee at Kaiser Permanente, it is the expectation that you:

- Show willingness to work with a wide range of patient populations and presentations often different from yourself
- Demonstrate respect for differing worldviews and value systems, even when they are in conflict with your own
- Work effectively and with respect with colleagues whose views may be different and/or in conflict with your own
- Within reason, you are expected to be willing to work with any patient who presents for treatment, except in cases where your personal physical safety is actively threatened or where *the clinical competence of both the trainee and the supervisor* would compromise patient care.
- Seek out supervision, consultation, and training when issues around competency emerge pertaining to a particular population and/or presenting problem

I have read and agree to abide by Kaiser Permanente's Mental Health Training Program Values Statement.

Name: _____

Signature: _____

Date: _____

(Adapted from the Counseling Psychology Model Training Values Statement Addressing Diversity, Council of Counseling Psychology Training Programs)

Appendix B



Mental Health Training Program
Northern California

PRE-MASTER'S INTERNSHIPS IN SOCIAL WORK, MARRIAGE AND FAMILY THERAPY AND COUNSELING PREREQUISITES CHECKLIST (rev. 8/2020)

Training Year: _____ Date: _____
Training Site: _____ Team: _____
Trainee Name: _____
Supervisor Name: _____ Site Director Name: _____

Before any pre-master's intern sees patients in individual or group psychotherapy, they must have prior training in the areas listed below. The pre-master's intern, and supervisor and/or site training director will document that these competencies have been met by completing the following table. The site training director will then file the original of this form in the pre-master's intern's training file.

Training Area	Date(s) of Training	Location of Training
1. Mental Status Examination		
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		

Name of Training Faculty Member who completed this form: _____

Appendix C



Mental Health Training Program
Northern California

Confidentiality and Consent to Participate in Psychological Testing and Evaluation

Confidentiality

Kaiser Permanente's Mental Health Services are strongly committed to your right to privacy and confidentiality. The results of your psychological evaluation and/or treatment will be written in a report and/or progress notes that will be sent to the provider who referred you for testing and will be filed in your electronic chart as a visible behavioral health record. This will make information from your psychological evaluation/treatment available to *other* Kaiser Permanente providers only on a need-to-know basis and/or when the information is pertinent to your direct clinical care. Because Kaiser psychologists, and psychology postdoctoral residents, doctoral interns, and practicum externs work as members of an integrated system of care, relevant information about your care will be exchanged among Kaiser Permanente providers as necessary. Your permission is not required to coordinate mental health services with providers within Kaiser Permanente. However, ordinarily we will discuss with you any necessary sharing of psychological information. When we share information, we only share that information which, in our professional judgment, we believe is needed for appropriate clinical care by that provider. Information about your psychological evaluation will not be exchanged with individuals or parties outside of the Kaiser Permanente medical system without your written authorization. A valid, HIPPA compliant authorization must specify the nature of the information to be released, identify the receiving party, and indicate when your authorization expires.

Exceptions to Confidentiality Rules

There are times when Federal and/or California law requires or permits the release of certain psychiatric or psychological information. If we become aware of such information during the psychological evaluation, we may be required to report this to police, governmental agencies, or others. Examples of circumstances under which the law requires or permits us to release information without your permission include:

- Medical and psychiatric emergencies in which the information is essential to an individual's safety
- Disclosures of information to warn potential victims of violent acts
- Reports of physical, sexual, emotional abuse and/or neglect of children
- Reports of physical, sexual, emotional, fiduciary (financial) abuse and/or neglect of the elderly, or dependent adults
- Indications of a severe inability to take care of yourself
- Responses to court orders in which a judge has ruled that the information is necessary for the administration of justice (42 USC Section 290dd-2 for Federal laws and 42 CFR Part 2 for Federal regulations)
- Involvement in certain legal actions in which your emotional or mental state is an issue

Risks, Benefits and Alternatives

Most people who undergo psychological testing benefit from it by learning more about their cognitive and emotional functioning. Furthermore, the evaluation often gives the referring provider information that is helpful in planning a patient's care. Psychological evaluations and/or treatment can provide useful strategies to improve a patient's cognitive, emotional, and other functioning as well. However, there may

be certain kinds of risks involved. Assessment may require us to speak with someone (family member, partner, parent/guardian etc.) who knows you well because they may be able to provide important information about your condition or symptoms. Testing itself requires active effort on the part of the person being evaluated. It is important that the person participate willingly in the evaluation and with full effort. Lack of effort will invalidate the test results. Testing takes several hours and may require additional testing sessions to complete, which can be fatiguing for some patients. In addition, the test results may be somewhat disturbing in some cases because the results may include information about intellectual ability, intellectual disabilities, and/or psychiatric disorders. Treatment may also require active change in behavior which can be difficult. Sometimes talking about and working on psychological difficulties can bring out painful feelings. In addition, if you choose not to participate in the psychological testing, you will be referred back to the provider who requested these services and he or she may proceed without the potential benefits of the psychological evaluation.

Termination

You may decide to terminate your participation in the psychological evaluation and/or treatment at any time. Discontinuation of the evaluation before completion, however, may not allow for a full assessment of your condition and may limit the recommendations that the psychologist, and/or psychology postdoctoral resident, doctoral intern, or practicum extern is able to provide. A final session is recommended when discontinuing treatment to answer any final questions you may have and to provide better closure.

Acknowledgement

By signing your name below, you are acknowledging that you have talked to your clinician and read and understood the information provided in the Confidentiality and Consent to Participate in Psychological Testing and Evaluation document. You are also indicating that you voluntarily agree to participate in this procedure and understand the risks, benefits, and alternatives as well as what will happen if you say no to participating.

If the person receiving care is a minor, a parent or legal guardian acknowledges having read and understood this information and voluntarily agrees to the minor's participation. If the person receiving care is an adult who is not competent to give informed consent, a legally authorized representative or court-appointed conservator acknowledges having read and understood this information and agrees to the adult's participation in psychological testing services.

Kaiser Permanente's medical centers and clinics are teaching facilities. As such, this evaluation may be conducted by an unlicensed postdoctoral resident, doctoral intern or practicum extern in clinical psychology who will be supervised by _____ (PSY _____), a licensed clinical psychologist. If you have any questions, you may contact the above supervisor or resident, intern, or extern for more information. With regard to timeline, it may take up to _____ weeks to receive the results of the evaluation, feedback, and/or a final copy of the report.

Signature of Patient

Medical Record Number

Date

Signature of Responsible Party

**Relationship to Patient
(Parent, Guardian, Conservator)**

Date

Name of Evaluator

Training Program Completion Date

Appendix D



Mental Health Training Program
Northern California

MENTAL HEALTH TRAINEE REMEDIATION: FOCUSED COMPETENCY GUIDANCE PLAN (rev. 6/2022)

To be signed by the SUPERVISOR and the MENTAL HEALTH TRAINEE

Policy Statement:

Focused Competency Guidance is *typically* triggered when a trainee demonstrates the need for improvement in any clinical competency domain(s). The trainee may be exhibiting a minor competency deficit(s) that can be easily ameliorated by added training. However, during the third or fourth quarter of the training year, if a trainee continues to exhibit competency deficits, the supervisor may choose to initiate Probation.

After determining the need to initiate Focused Competency Guidance and recording their concerns in a narrative form, the site training director and supervisor will meet with the trainee. During this meeting, the site training director and supervisor will present the Focused Competency Guidance Plan below, identifying the competencies to be targeted and the recommended actions. The guidance plan will include a timeline for reassessment of the identified concerns. If the timeline calls for reassessment before the next performance evaluation, an assessment is undertaken at the appointed time and follow-up remarks are detailed. This plan must be signed and dated by the supervisor and trainee during the initial and follow-up meetings with a copy provided to the trainee and to the trainee's graduate school. A copy will also be placed in the trainee's file.

The trainee acknowledges that by signing this Focused Competency Guidance plan at the initial meeting, they understand that if Focused Competency Guidance is not successfully completed, some or all of the trainee's supervised hours may not be counted (i.e., will be found to be unsatisfactory) from the date of the commencement of this plan.

Performance Evaluation Quarter and Training Year, and Plan initiation Date:	
Mental Health Trainee Name (print):	
Supervisor Name (print):	

Statement of Plan Completion:

On _____ (date), _____ (trainee name) successfully completed the Focused Competency Guidance Plan and is now meeting training program minimum levels of achievement.

Supervisor Name (Signature) and Date

A. Competency Issues discussed at meeting:	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:	B. Recommended Actions (cont'd)	C. Reassessment Status of Actions/Competency
Competency/Issue:		
Competency/Issue:		

Timeline / Date of Assessment	Mental Health Trainee Signature & Date	Supervisor Signature & Date
Initial Meeting		
Reassessment Meeting		
Reassessment Meeting		
Reassessment Meeting		

Appendix E



Mental Health Training Program
Northern California

MENTAL HEALTH TRAINEE REMEDIATION: PROBATION PLAN (rev. 6/2022)

To be signed by SITE TRAINING DIRECTOR, SUPERVISOR and MENTAL HEALTH TRAINEE

Policy Statement:

Probation is typically triggered when a trainee fails to achieve timely and/or sustained improvement after completing a Focused Competency Guidance Plan and/or demonstrates a major competency deficit(s).

To initiate Probation, the site training director, and the supervisor, with input from other training faculty, the department manager and HR consultant, presents the trainee with a **Letter of Warning**. The site training director and the supervisor will also present the trainee with the Probation Plan below which includes a recording of competency concern(s) and the recommended remedial actions. After the plan is signed by all parties, copies will be provided to the trainee's graduate school and a copy will be placed in the trainee's file.

Within the time frame outlined in the Probation Plan, the trainee's supervisor will evaluate the trainee's progress and document their findings on the outcome's sections of this form. If insufficient progress has been made by the end of the probationary period, the site training director and department manager, in consultation with the trainee's supervisor and HR administration may extend the Probation or may Suspend the trainee.

The trainee acknowledges that by signing this Probation Plan at the initial meeting, they understand that if the Probation is not successfully completed, some or all of the trainee's supervised hours may not be counted (i.e., will be found to be unsatisfactory) from the date of the commencement of this plan.

Performance Evaluation Quarter and Training Year, and Plan Initiation Date:	
Mental Health Trainee Name(print):	
Supervisor Name (print):	
Site Training Director Name (print):	

Statement of Plan Completion:

On _____ (date), _____ (trainee name) successfully completed the Probation Plan and is now meeting training program minimum levels of achievement.

Training Director Name (Signature) and Date Supervisor Name (Signature) and Date

Probation Plan		Page 2 of 4
Component of Probation Plan		Outcome
1. Description of mental health trainee's unsatisfactory performance		
2. Identification of targeted clinical competency area(s)		

Probation Plan		Page 3 of 4
Component of Probation Plan (cont'd)		Outcome
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 additional supervision and/or to attend additional seminars and/or other training activities; and/or recommendation of training resources.		

Probation Plan		Page 4 of 4
Component of Probation Plan (cont'd)		Outcome
4. Expectations for successful outcome		
5. Consequences for unsuccessful outcome (which may include initiation of Probation)		
6. Timeline for completion		

Appendix F



The Permanente Medical Group, Inc.

NOTICE OF PROVISION OF MENTAL HEALTH TREATMENT SERVICES BY A PSYCHOLOGY PRACTICUM EXTERN

This is to inform you that the mental health services you are receiving are provided by an unlicensed Psychology Practicum Extern:

Extern Name: _____, MA/MS

Extern Contact #: _____

Externship Completion Date: _____

This Extern is working under the supervision of:

Supervisor Name: _____, PsyD/PhD

Supervisor License #: _____,

Supervisor Contact #: _____,

in addition to other licensed staff members in the Department of Psychiatry at Kaiser Permanente

Appendix G



The Permanente Medical Group, Inc.

NOTICE OF PROVISION OF MENTAL HEALTH TREATMENT SERVICES BY A PRE-MASTER'S MENTAL HEALTH INTERN

This is to inform you that the mental health services you are receiving are provided by an unlicensed Pre-Master's Intern in:

- ☐ Social Work
- ☐ Marriage and Family Therapy
- ☐ Counseling

Intern Name: _____, BA/BS

Intern Contact #: _____

Internship Completion Date: _____

This Intern is working under the supervision of:

Supervisor Name: _____,

Supervisor License #: _____,

Supervisor Contact #: _____,

in addition to other licensed staff members in the Department of Psychiatry at Kaiser Permanente.

Appendix H



KAISER PERMANENTE®

Mental Health Training Program
Northern California

PSYCHOLOGY PRACTICUM EXTERNSHIPS AND PRE-MASTER'S INTERNSHIPS IN SOCIAL WORK, MARRIAGE AND FAMILY THERAPY AND COUNSELING

MENTAL HEALTH TRAINEE EVALUATION OF SUPERVISOR (rev. 8/2020)

Training Site/Team: _____ Date: _____

Evaluation Period: Year: _____ Quarter _____
Mid-Year/End-of-Year _____

Supervisor's Name: _____

Supervisor's Status: _____ Individual Supervisor
_____ Group supervisor - indicate which group:
_____ Case Conference
_____ Psychological Assessment
_____ Other _____
_____ Other _____

Mental Health Trainee Name: _____

Please evaluate your supervisors using the criteria and rating scale below. The purpose of this evaluation is to inform the Training Program of your supervisors' strengths and weaknesses, and to help the supervisors improve in the practice of supervision. This evaluation process is optimally an ongoing part of the supervisory relationship and the criteria below can be used to guide discussion throughout the training year. Both supervisors and supervisee should strive to talk openly about how the supervision is going, how well learning is taking place, and what needs improving.

Please indicate the degree to which the following behaviors are characteristic of your supervisor using the following rating scale:

Numerical Rating	Level of Satisfaction
1	Does Not Meet My Expectations
2	Needs Improvement
3	Meets My Expectations

Supervisor Provides Atmosphere for Professional Growth

_____ Demonstrates a sense of support and acceptance
_____ Establishes clear and reasonable expectations for my performance
_____ Establishes clear boundaries (i.e., not parental, peer or therapeutic)
_____ Makes an effort to understand me and my perspective
_____ Encourages me to formulate strategies and goals without
imposing his/her/their own agenda

- ☐ Recognizes my strengths
- ☐ Conveys an active interest in helping me to grow professionally
- ☐ Is sensitive to the stresses and demands of the internship
- ☐ Helps me to feel comfortable to discuss problems
- ☐ I feel comfortable talking to my supervisor about my reactions to him/her/them and the content of our meetings

Supervisor's Style of Supervision

- ☐ Makes supervision a collaborative process
- ☐ Balances instruction with exploration, sensitive to therapists' style and needs
- ☐ Encourages therapist to question, challenge, or doubt supervisor's opinion
- ☐ Admits errors or limitations without undue defensiveness
- ☐ Openly discusses and is respectful of differences in culture, ethnicity, or other individual diversity
- ☐ Enables the relationship to evolve from advisory to consultative to collegial

Supervisor Models Professional Behavior

- ☐ Keeps the supervision appointment and is on time
- ☐ Is available when therapist needs to consult
- ☐ Makes decisions and takes responsibility when appropriate
- ☐ Makes concrete and specific suggestions when needed
- ☐ Assists therapist in integrating different techniques
- ☐ Addresses transference/countertransference/emotional reactions between therapist and patient
- ☐ Raises cultural and individual diversity issues in supervisory conversation

Impact of Supervisor

- ☐ Provides feedback that generalizes or transcends individual cases to strengthen therapist's general skill level
- ☐ Shows concern for therapist's personal development as well as program performance
- ☐ Facilitates therapist's confidence to accept new challenges

The most positive aspects of this supervision are:

The least helpful or missing aspects of this supervision are:

This supervision experience might improve if:

Adapted 2008 by L. Kittredge & K. Lenhardt & modified 2014 by R. Gelbard, Kaiser Permanente Northern California Postdoctoral Residency Program, from Supervisor Feedback Form by S. Hall-Marley (2001), in Falender & Shafranske. *Clinical Supervision: A Competency-Based Approach*. APA, 2004, pp 273-275.

Appendix I



Mental Health Training Program Exit Interview Questions (optional)

1. Please tell us any areas you see for improvement in the training program	
2. What were your favorite parts of the training experience?	
3. What were some of the biggest challenges you faced during your training year?	
4. What are you most looking forward to in your new role/where you're going next?	
5. Did you feel adequately supported, respected, and recognized in your role as part of the team this year?	
6. Did you feel like you had the tools, resources, and working conditions necessary to be successful in your job? If not, what could be improved?	
7. Was your training experience consistent with your expectations from when you interviewed and accepted the offer? If not, what changed?	
8. Would you recommend training at our program to a peer? Why or why not?	

Appendix J



Postmaster's Fellowship and Pre-Master's Internship Remote Supervision Agreement

In signing this supervision agreement, both the named supervisor and supervisee attest that a meeting has been conducted on _____ within 60 days of the start of supervision on _____ to assess the appropriateness of allowing the named supervisee to receive supervision via two-way, real-time videoconferencing.

The assessment of the appropriateness of supervision via two-way, real-time videoconferencing included the consideration of 1) the current abilities of the named supervisee, 2) the preferences of both the supervisee and supervisor, and 3) the ability of both parties to attend supervision from locations that ensure the necessary level of privacy.

- ☐ I, the named supervisor, attest that supervision via two-way, real-time videoconferencing has been determined to be APPROPRIATE based on my assessment.
- ☐ I, the named supervisor, attest that supervision via two-way, real-time videoconferencing has been determined to be INAPPROPRIATE based on my assessment. All supervision required as part of this supervision agreement will be provided in person.

Supervisee Name _____

Supervisee Signature _____ Date _____

Supervisor Name _____

Supervisor Signature _____ Date _____