Appendix B
University of Cincinnati
Counseling & Psychological Services

INTERNSHIP TRAINING PROGRAM
DUE PROCESS & GRIEVANCES PROCEDURES

The Psychology Doctoral Internship at the University of Cincinnati’s Counseling & Psychological Services (CAPS) is designed with professional and personal growth and development in mind. As a center, we understand the developmental nature of the internship process and we expect that there will be some challenges that create problems that need to be addressed, either through an informal or formal process.

This document provides interns and staff with an overview of the evaluation process, due process procedures, procedures for responding to deficiency and problem behaviors, possible interventions, and guidelines for implementation of decisions. Also included are the guidelines for the intern grievance and appeal process. We encourage staff and trainees to discuss and resolve conflicts informally, however if this cannot occur, this document was created to provide a formal mechanism for the counseling center and trainees to respond to issues of concern.

EVALUATION OF PROGRESS

1. **Ongoing Feedback**
   Each clinical supervisor and seminar leader is responsible for providing ongoing feedback to intern regarding their strengths, areas for growth, and progress towards successful completion of the training experience. The primary supervisor documents the feedback on the Intern Evaluation Form. The Intern Evaluation Forms become a part of the intern’s permanent file.

2. **Supervisor Meetings**
   During supervisor meetings, training staff share observations regarding interns’ skills and areas for growth. Feedback is based upon all aspects of the trainee’s training experiences, including: observation of interns’ case presentations in the weekly group supervision meetings and weekly case conferences; informal consultations regarding cases; observations by seminar presenters; and reports by all supervisors. The purpose of this process is to ensure an integrated approach towards developing the intern’s skills.

3. **Written Evaluation**
   For CAPS interns, the Intern Evaluation Form is used to evaluate the intern’s triage, individual, and group therapy skills and professional development. It is completed at the midpoint and the end of the training experience. The primary supervisor and the intern meet to discuss the evaluation, and both sign it to indicate that it has been reviewed. If desired, the intern may have a copy of the evaluation.
4. Written Evaluation – Academic Department

At the midpoint and at the end of internship, the Training Coordinator writes a letter to the home university summarizing the intern’s progress. The intern receives a copy of the letter.

**UNSATISFACTORY PROGRESS**
Areas of concern typically fall into one of two areas.
1. Skill deficiency
2. Trainee problem behavior

**Definition of Problem Behavior**
Behaviors are identified as problem behaviors if they include one or more of the following characteristics:
1. The intern does not acknowledge, understand, or address the problem when it is identified.
2. The problem is not merely a reflection of a skill deficit that can be rectified by academic or didactic training.
3. The quality of services delivered by the trainee is sufficiently negatively affected.
4. The problem is not restricted to one area of professional functioning.
5. A disproportionate amount of attention by training personnel is required.
6. The intern's behavior does not change as a function of feedback, remediation efforts, and/or time.

**Due Process**
The basic meaning of due process is to inform and to provide a framework to respond, act or dispute. Due process ensures that decisions about trainees are not arbitrary or personally based. It requires that the Training Program identify specific procedures which are applied to all trainees complaints, concerns and appeals.

**Due Process Guidelines**
1. During the orientation period, interns’ will receive in writing CAPS’ expectations related to professional functioning. The Training Coordinator will discuss these expectations in both group and individual settings.
2. The procedures for evaluation, including when and how evaluations will be conducted will be described. Such evaluations will occur at meaningful intervals.
3. The various procedures and actions involved in decision-making regarding the problem behavior or trainee concerns will be described.
4. CAPS will communicate early and often with the intern and, when needed, will communicate with the intern’s home program if any suspected difficulties that are significantly interfering with performance are identified.
5. The Training Coordinator will institute, when appropriate, a remediation plan for identified inadequacies, including a time frame for expected remediation and consequences of not rectifying the inadequacies.

6. If an intern wants to institute an appeal process, this document describes the steps of how a trainee may officially appeal this program's action.

7. CAPS’ due process procedures will ensure that trainees have sufficient time (as described in this due process document) to respond to any action taken by the program before the program's implementation.

8. When evaluating or making decisions about an intern’s performance, CAPS staff will use input from multiple professional sources.

9. The Training Coordinator will document in writing and provide to all relevant parties, the actions taken by the program and the rationale for all actions.

PROCEDURES FOR RESPONDING TO SKILL DEFICIENCY OR PROBLEM BEHAVIOR

If a staff member judges a trainee's performance as constituting a skill deficiency or problem behavior, the following procedure will be followed.

1. The staff member notifies the Training Coordinator that there is a concern about the trainee’s skills or professional functioning.

2. The Training Coordinator initially consults with the primary supervisor, other directly involved CAPS clinical staff, and the Assistant Director/Director if the problem pertains to clinical practice.

3. Input will then be sought from senior clinical staff (included the Assistant Director/Director)

4. The Training Coordinator may also choose to consult with the trainee’s academic department.

If it is determined that the concern needs further review, the following procedure will be initiated.

1. The Training Coordinator will write a letter to the intern outlining the concern, providing notice that a review will occur, and informing the intern that she/he may provide a written statement to the Training Coordinator, if desired.

2. The Intern Training Committee will meet to discuss the concern and possible follow up action. With this input, the Training Coordinator will determine what follow up action is needed.

3. These steps will be appropriately documented and implemented according to due process procedures.

POSSIBLE INTERVENTIONS IN RESPONSE TO SKILL DEFICIENCY OR PROBLEM BEHAVIOR
The Training Coordinator - in consultation with Clinical Supervisor, Intern Training Committee, and CAPS Director, or designee may determine that one or more of the following responses will be made.

**Verbal Notice** – the intern is given feedback regarding unsatisfactory behavior

**Written Acknowledgment** – provides:
- a. Notification to the intern that there is unsatisfactory behavior
- b. Description of the unsatisfactory behavior
- c. Actions required to remedy the behavior
- d. Statement that more serious action is not deemed necessary

**Written Notice** – directs the intern to discontinue unsatisfactory action(s) or behavior(s). The intern will be given a letter specifying the following:
- a. Description of the unsatisfactory behavior
- b. Actions required to correct the unsatisfactory behavior
- c. Timeline for correction
- d. Possible consequences if the problem is not corrected

**Schedule Modification** – the intern’s schedule is modified to allow the intern to focus on remediation of the area of concern. Examples of possible modifications include:
- a. Increasing the amount of supervision, either with the same or other supervisors
- b. Changing the format, emphasis, or focus of supervision
- c. Recommending personal therapy
- d. Reducing the trainee’s clinical or other workload

**Probation** – if the area of unsatisfactory behavior is deemed serious enough, the intern may be placed on probation. The intern will be given a letter specifying the following:
- a. Description of the unsatisfactory behavior
- b. Actions required to correct the unsatisfactory behavior
- c. Timeline for correction
- d. Explanation of the procedure that will be used to determine whether satisfactory progress has been made
- e. Possible consequences if the problem is not corrected

**Clinical Privileges Suspension** – if it is determined that the intern’s problem behavior might impact client welfare, the trainee’s clinical privileges will be suspended. The trainee will be given a letter specifying the following:
- a. Description of the unsatisfactory behavior
- b. If applicable,
  1) Actions required to correct the unsatisfactory behavior
  2) Timeline for correction
  3) Explanation of the procedure that will be used to determine whether satisfactory progress has been made
  4) Possible consequences if the problem is not corrected
Administrative Leave – the intern may be placed on leave, accompanied by suspension of all duties and responsibilities in the agency. The intern will be informed in writing about potential consequences resulting from suspension, which might include inability to complete program hours or other requirements.

Guidelines for Implementing Decisions

1. Once the final decisions have been made by the Director, after evaluating the review panel findings, the Training Coordinator and Director meet with the intern to review the decisions made and specify the remediation procedures.

2. Any formal action taken by the Training Program is communicated in writing to both the trainee and the trainee’s home program. This notification indicates the nature of the problem, a rationale for the implementation of the remediation procedures and the specific steps that are to be taken.

3. When necessary the status of the intern's remediation efforts are reviewed within a designated time period, but no later than the next formal evaluation period. This review is made by the Training Coordinator and the trainee's primary supervisor. The Director is informed of the trainee's status on a regular basis.

4. The outcome of the review is communicated in writing to the intern, the intern's home program, and to the Director.

Grievance Procedures/ Grievance Appeal Procedures

Procedures for Grievance with Written Evaluation or with Intern Training Committee Decision: If an intern does not agree with a written evaluation and discussion with the supervisor does not resolve the issue, or if an intern does not agree with the decision of the Intern Training Committee, the intern may submit a letter of addendum or disagreement to be attached to the specific supervisor’s evaluation or Committee recommendation, then to be forwarded to the Training Coordinator. In this letter, the intern may also request an appeal based on:

1. Denial of due process in the evaluation/grievance procedure (e.g., evaluation criteria not presented prior to evaluation or opportunity to demonstrate proficiency not provided prior to evaluation)

or

2. Denial of opportunity to present data to refute criticisms in the evaluation/grievance process.

The request must be submitted no later than five (5) working days after the evaluation is finalized, must identify the specific aspect of the evaluation with which the intern disagrees and must suggest what form of modification is requested.
If an appeal is appropriately requested, the following steps will be taken:

A. An Appeals Committee, made up of two staff members, will be formed within ten working days of receipt of the appeal. The intern may designate one member of the Appeals Committee from the senior staff. The CAPS Director, or designee, will designate the other member, with recommendations from the Training Coordinator, or designee. The Training Coordinator and the CAPS Director are prohibited from serving on the Appeals Committee.

B. The Training Coordinator, or designee, is responsible for convening the committee and the CAPS Director, or designee, presides. Both review the appeal procedures and make sure that no committee member has a conflict of interest in the case presented.
   
   a. The intern and the supervisor(s) involved will be notified when the appeal meeting will be held.
   
   b. The Appeals Committee may request the presence of a written statement from the individuals involved, as deemed appropriate.
   
   c. The intern may submit to the committee any written statements deemed appropriate, may request a personal interview or may request that the committee interview other individuals with relevant information. The involved supervisor also has these same privileges.
   
   d. The committee will meet within 30 working days of the receipt of the appeal and will present a written summary of the committee’s findings and any recommendations to the Training Coordinator.

C. The Training Coordinator will take action based on the Appeals Committee’s findings.

   Examples of outcomes might include (but are not limited to):

   1. Accept the original evaluation report and recommend a plan of remediation;
   2. Request that the supervisor write a new report to include specific changes;
   3. Rewrite the report her/himself or add an addendum to the original evaluation;
   4. Recommend that probation or another remedial plan be implemented.

   The recommendation of the Training Coordinator is to be communicated in writing to the intern in a timely manner.

D. If the intern is dissatisfied with the decision of the Training Coordinator, she/he may request that a second and final review be made by the CAPS Director, or designee. The request must be submitted to the CAPS Director within five working days after receiving
the Training Coordinator’s written decision. The CAPS Director will make the final recommendation about the intern’s appeal.

Procedures for Grievance with Training, Supervision, and All other Concerns:

Informal Problem Resolution Procedure
If a trainee experiences a problem with a CAPS clinical or support staff member, the trainee is encouraged to proceed by taking the following actions. If a step is not successful, the trainee should proceed to the next step. We recognize that, in some situations, the trainee may feel uncomfortable about talking directly with a staff member about an issue. If that is the case, the trainee is advised to consult with the Training Coordinator.

A. Step 1: First, attempt to address and resolve the problem with the individual as soon as possible.

B. Step 2: If addressing the issue with the staff member is not successful, or the trainee prefers not to first address the issue with the individual, he/she may consult with the Training Coordinator. The Training Coordinator will assist by using one or more of the following actions.
   a. Serving as a consultant to assist in deciding how best to communicate with the individual
   b. Facilitating a mediation session between the staff person and the trainee
   c. Taking the issue to CAPS Leadership Team members and/or the Training Committee for consultation and problem solving
   d. Consulting with the CAPS Director

In the case of an issue with the Training Coordinator, the trainee should consult with the Assistant Director. In the case of an issue in which neither the Training Coordinator or Assistant Director can be consulted, the trainee should consult with the CAPS Director.

C. Step 3: If satisfactory resolution is still not attained, the trainee may file a formal grievance.

Formal Grievance
A. Step 1: The trainee will provide a letter to the Training Coordinator documenting the nature of the grievance and what attempts have been made to resolve the issue.

B. Step 2: The Training Coordinator will write a letter to the trainee outlining the grievance procedure, including the trainee’s right to select one of the CAPS staff members on a review panel and the opportunity to dispute information and/or explain his/her position. The letter will also document the timeline for responding to the grievance.
C. Step 3: The Training Coordinator will then convene a review panel that includes the Training Coordinator, Assistant Director, one staff member selected by the Training Coordinator and one staff member selected by the trainee.
   a. Both parties involved (trainee and staff member trainee is filing a grievance against) review the appeal procedures and make sure that no committee member has a conflict of interest in the case presented.

b. The intern and the staff involved will be notified when the appeal meeting will be held.

c. The panel may request the presence of a written statement from the individuals involved, as deemed appropriate.

d. The intern may submit to the committee any written statements deemed appropriate, may request a personal interview or may request that the committee interview other individuals with relevant information. The involved staff also has these same privileges.

e. The committee will meet within 30 working days of the receipt of the appeal. The review panel will hear all information and, within five working days of the completion of the review hearing, the review panel will, by majority vote, prepare a recommended response to the grievance. The Training Coordinator will provide the panel’s recommendations to the CAPS Director. Within five working days of receipt of the review panel’s recommendation, the CAPS Director will accept the recommendation, reject the recommendations and provide an alternative, or refer the matter back to the review panel for further deliberation. Within five working days, the review panel will convene and prepare a report to be given by the Training Coordinator to the Director. The CAPS Director will then make the final decision regarding the appropriate response to the grievance.

D. Step 4: Once a decision has been made the trainee, sponsoring university, and other appropriate individuals will be informed in writing of the action taken.

Racial or Sexual Harassment Procedures

The training program is committed to maintaining an atmosphere conducive to personal and professional development. This requires an environment in which each intern feels safe and respected. All complaints related to racial or sexual harassment that involves interns, whether the intern is the alleged victim or perpetrator, will be handled in strict compliance with college procedures described in the Workplace Harassment Policy through the University of Cincinnati’s Office of Equal Opportunity and Access. The college’s procedures take precedence over the conflict resolution steps mentioned previously.