

Student Mental Health  
University of California, Berkeley

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**Counseling and Psychological Services & Social Services  
University of California, Berkeley**

**I. AIMS OF THE 2nd YEAR POST-MSW FELLOWSHIP**

The 2nd year post-MSW fellowship program is committed to providing comprehensive professional training experiences that will facilitate 2nd year post-MSW fellows' development on the path to licensure as clinical social workers. A primary aim of the program is to assist fellows in strengthening and consolidating their professional skills and integrating those skills into their professional identities as clinical social workers. Special focus is given to fellows' development in the following areas:

**A.** The consolidation of clinical social work skills including the attitudes, knowledge and applied skills necessary for work with a broad range of client issues and problems. Core skills include: (1) initial consultation and assessment skills; (2) crisis assessment and intervention skills; (3) individual counseling/therapy skills; (4) group counseling skills; (5) ethical decision making; and (6) consultation and prevention skills.

**B.** The consolidation and integration of knowledge, awareness, appreciation and skills for work with diverse populations. 2nd year post-MSW fellows are encouraged and mentored to examine and explore their knowledge of and attitudes toward cultural, racial, sexual, religious, physical and age differences as part of this development.

**C.** The consolidation of knowledge, understanding and application of ethical principles and practices in clinical social work. This includes knowledge of laws and regulations as well as the awareness of challenges, recent developments and trends in the field of clinical social work. This also involves the commitment on the part of 2nd year post-MSW fellows to ongoing, lifelong learning and development, both personally and professionally.

**D.** The on-going development of a professional identity as a clinical social worker. This process involves the integration of knowledge of oneself with the ability to work with richly diverse populations. This also involves being able to assume professional and personal responsibility for one's work.

**E.** While the 2nd year post-MSW fellowship continues to focus on the core duties of a clinical social worker in a university health center, in both CAPS and SoS, fellows are encouraged to develop individual areas of interest and expertise. Fellows are encouraged to maintain flexibility in their thinking and approaches to learning. This flexibility will enable fellows to develop clinical and consultation skills that are generalizable to other settings.

In order to facilitate these goals, intensive supervision, consultation with senior staff and on-going feedback are provided. The primary objective of the 2nd year post-MSW

fellowship is to help fellows reach advanced professional competency in preparation for licensure.

## **II. FELLOWSHIP PROGRAM ADMINISTRATION**

The Training Director and SoS Director are responsible for the oversight and management of the 2nd year post-MSW program. The post-MSW Fellowship Coordinator is responsible for the day to day coordination of the program, and they work closely with the Training Director and SoS Director, to do so. The Director of Training and SoS Director, in consultation with the Coordinator and supervisory staff, has primary responsibility for all decisions regarding curriculum, program philosophy, format and structure, fellow selection, assignment of supervisors and resolution of problems or concerns. Development, implementation and evaluation of the training program, policy recommendations and training philosophy are developed in consultation with the Director of SMH, SMH Leadership Team, Director of SoS, the Fellowship Coordinator, and training supervisors.

The Director of Training is a member of the Student Mental Health Leadership Team, leads the Training Team, seminar leader meetings, and brings relevant issues for discussion and decision-making to these groups. The Post-MSW Fellowship Coordinator leads supervisors' meetings for the fellowship.

### **A. Supervisors Group**

The supervisors and the Fellowship Coordinator meet at least one time a month in order to: (1) collaborate on program development and planning; (2) provide a mechanism for quality assurance by reviewing, discussing and updating the content, policies and procedures of the fellowship program; (3) discuss the progress and needs of fellows and provide peer support and guidance in conducting supervision; and (4) provide a forum to discuss general supervisory issues and share information and knowledge about supervision. The Fellowship Coordinator and meets with the Training Director up to weekly individually, and up to weekly in the Training Team meeting, to discuss and address current issues in the fellowship.

### **III. RESPONSIBILITIES OF THE FELLOWSHIP PROGRAM TO 2nd YEAR POST-MSW FELLOWS**

The fellowship program at Counseling & Psychological Services (CAPS) and Social Services (SoS) is committed to providing an environment conducive to the professional growth and development of 2nd year post-MSW fellows. A major focus is to assist fellows in integrating their personal values, attitudes and functioning as individuals with their professional functioning. This process involves ongoing discussion, consultation, evaluation and feedback between supervisors and fellows. This process also involves the development of trust and safety within the fellowship program such that fellows can approach learning experiences and challenges with a sense of openness, safety and appropriate vulnerability. Specifically, the training program assumes the following responsibilities toward fellows:

- A.** The fellowship program will provide 2nd year post-MSW fellows with a clear statement of goals and parameters of the fellowship experience, including information about relevant professional standards, guidelines and legal regulations governing the practice of clinical social work. The fellowship program will also provide appropriate forums to discuss these standards and guidelines.
- B.** The fellowship program will provide 2nd year post-MSW fellows with copies of the SMH Policy and Procedures Manuals, with discussion of appropriate sections that address agency standards.
- C.** The fellowship program will provide quality supervision by licensed mental health professionals who adhere to professional legal and ethical guidelines.
- D.** The fellowship program will provide criteria, outlined in the 2nd year post-MSW fellowship evaluation form, which will be used in assessing skills in individual counseling, initial consultation and assessment, and crisis assessment and intervention.
- E.** The fellowship program will provide ongoing feedback that is specific, respectful and pertinent to the fellow's skills and development. Written evaluations of the fellow's progress will be provided twice during the fellowship year (January and July) and will address the fellow's knowledge of and adherence to professional standards, their professional skill competency and their personal functioning as it relates to the delivery of professional services (**see 2nd Year Post-MSW Fellowship Evaluation form**).
- F.** The training program will provide fellows the opportunity to formally evaluate and provide feedback to the fellowship program, coordinators, and supervisors. The opportunity to provide written evaluations will occur twice during the year (January and July). In addition, fellows will be encouraged to give informal feedback during supervision and meetings with Coordinators and/or the Director of Training (**see Supervisor and Coordinator Evaluations**).

**G.** The fellowship program will provide mechanisms and a process by which inappropriate behavior affecting professional functioning is brought to the attention of fellows. The fellowship program will maintain internal procedures, including grievance and due process guidelines, to address and remedy perceived deficits or difficulties as they relate to fellows' professional standards and functioning (**see Due Process Guidelines below**).

#### **IV. 2nd YEAR POST-MSW FELLOW RESPONSIBILITIES TO THE FELLOWSHIP PROGRAM**

**A.** Fellows have the responsibility to maintain behavior within: (1) the scope of the NASW Code of Ethics; (2) the laws and regulations of the State of California; (3) the regulations for professional staff of the University of California; and (4) the standards for professional staff outlined in the SMH Policy and Procedures Manuals.

**B.** Fellows have the responsibility to be open to professionally appropriate feedback from immediate supervisors, professional staff and agency personnel.

**C.** Fellows have the responsibility to behave in a manner that facilitates professional interaction within CAPS and SoS and is in accordance with the standards and expectations of the agency.

**D.** Fellows have the responsibility to provide professionally appropriate feedback regarding all aspects of the fellowship experience, including but not limited to, supervision, seminars, individual counseling experiences, consultation and outreach experiences and staff meetings.

**E.** Fellows have the responsibility to participate actively in all aspects of CAPS and SoS programs, including clinical and prevention activities, case conferences, staff meetings, staff development workshops and University Health Services activities.

**F.** Fellows have the responsibility to meet the expectations of the fellowship by developing skills in: (1) initial consultation and assessment; (2) individual counseling, including One at a Time (OAAT) sessions; (3) crisis assessment and intervention and (4) other areas specifically identified and mutually agreed upon by the fellow, supervisors and Director of Training.

**G.** Fellows have the responsibility to behave in a professionally appropriate manner if due process procedures are initiated.

## **V. FELLOWSHIP EXPERIENCES**

The 2nd-year post-MSW fellowship program at CAPS and SoS is composed of experiences which are designed to provide fellows with exposure to different staff members and their approaches to clinical and consultation work at a university counseling center and Social Services unit. Fellows are expected to participate in supervisory experiences, didactic training, consultation and outreach experiences, as well as case conferences and staff development activities as part of their training. Fellows work in two (or more) settings. Their primary CAPS and SoS offices are at the Tang Center. They may also spend a portion of their time at an SoS satellite office, depending on work responsibilities, agreed upon with the Fellowship Coordinator and SoS Director.

### **A. Orientation**

The first few weeks of the fellowship are designed to familiarize fellows with the daily operation of CAPS, SoS, and the University Health Services, and to facilitate their transition to the Bay Area and the University of California, Berkeley. A major aspect of orientation is for fellows to get to know CAPS and SoS staff and supervisors, to feel welcomed into the service and to begin to develop their individual schedules. Fellows are introduced to different aspects of CAPS and SoS including: outreach and consultation services, Social Services specialty areas, Psychiatry, the Front Desk (operations), Testing, Data and Records and the Career Counseling Library. In addition, fellows are provided with didactic training, including sessions on providing OAAT therapy, initial consultation and assessment, crisis assessment and intervention, assessment of dangerousness and legal and ethical issues, and training on SoS specialty counseling areas. Fellows visit and learn about campus services such as the Student Learning Center, Disabled Students Program, and the various student development offices (e.g., African American Student Development office).

### **B. Supervision**

Intensive individual supervision is provided throughout the 2nd year post-MSW fellowship year and is considered a core component of the program. In supervision, fellows receive support for their growth and development as clinical social workers as well as ongoing feedback regarding their strengths, goals and areas for improvement. Supervisory functions include monitoring client welfare, promoting and enhancing clinical and consultation skills, encouraging personal and professional growth and evaluating fellow progress in each of these areas.

## **1. Supervisory Assignments**

At the beginning of the year, supervisory assignments are made by the Director of Training and the SoS Director, in consultation with the Coordinator, and the supervisory staff. Prior to the beginning of the fellowship year, each fellow is asked to submit a written statement about their goals for supervision and preferences in a supervisor, including but not limited to theoretical orientation, supervisory style, shared identities, etc. These written statements are used by the supervisory staff to make initial supervisory assignments. Multiple factors are considered, including the fellow's skill level, theoretical preference, training needs, goals and interests, as well as the interests, strengths, skills, preferences and availability of supervisory staff.

## **2. Primary Supervision**

Fellows will have a primary individual supervisor in CAPS and another in SoS. In individual supervision fellows will receive support, guidance and ongoing feedback regarding their professional strengths and areas for improvement. The primary supervisory relationship is considered a core aspect of each fellow's experience during the 2nd year fellowship.

\*The California Board of Behavioral Sciences requires that Post-MSW fellows complete the "Supervisory Agreement" within 60 days of starting supervision, and at the completion of the supervisory relationship, the "Experience Verification" form. The Post-MSW is responsible for keeping the originals of these documents, until they submit them to the BBS when they apply for licensure. They may give photocopies to their supervisor, and/or the Fellowship Coordinator, if desired. Additionally, fellows must maintain weekly logs for the BBS, which their supervisor will sign weekly. The fellow is also responsible for keeping the original logs, but may give copies to their supervisor to hold onto as well.

Fellows meet with both their CAPS and SoS primary supervisors for 1 hour each, each week. Additional consultation is arranged on an as-needed basis.

Primary supervisors are responsible for overseeing each fellow's individual client caseloads. Primary supervisors are also responsible for keeping abreast of fellows' outreach and consultation commitments, workshop presentations and group co-leadership.

Primary supervisors are available for consultation with supervisees at times other than regularly scheduled supervision times. If a supervisor is not immediately available, other licensed staff are available for consultation. Supervisors are responsible for arranging coverage for vacations or other professional leaves from CAPS and SoS.



## **B. Fellowship Seminars**

Seminars provide fellows with an opportunity to deepen their learning and integrate theoretical knowledge with clinical experiences. The seminars also provide fellows with the opportunity to learn from the expertise of senior staff members and other mental health professionals in the community

### **1. Mini-Case Conference**

Fellows participate in a weekly hour and a half-long case conference facilitated by a Senior Staff member. The Mini-Case seminar is intended to provide fellows with a forum to discuss cases and countertransference, personal and professional development issues, issues related to diversity, Student Mental Health policies and procedures and any other topics of relevance for fellows' clinical and consultation work at Student Mental Health.

### **2. Professional Development Seminar & Speaker Series**

Fellows participate in a weekly, hour-long professional development seminar, led by the fellowship coordinator and/or a licensed staff member. The seminar provides fellows with the opportunity to discuss and explore the many aspects of professional growth, development and identity that occur throughout the fellowship program, and on the path to licensure as clinical social workers. The format includes discussion time and guest speakers who are invited from the professional community to speak on various topics of interest, identified by fellows.

## **C. Staff Case Conference**

Postdoctoral fellows are required to attend a weekly case conference that includes Student Mental Health professional and training staff.. The case conference is a forum for consultation and review of cases. Staff members and fellows present cases and receive feedback and consultation from each other on difficult or complex cases. Case conferences provide an important mechanism for quality assurance within Student Mental Health.

## **D. SoS Mini-Case**

Fellows attend weekly SoS Mini-case consultation meetings.

## **D. Staff Development Programs and Staff Meetings**

Fellows are required to attend all CAPS and SoS staff meetings and staff development programs. Staff development programs are offered throughout the year and include presentations on current issues in mental health and clinical practice.

## **VI. 2nd YEAR POST-MSW FELLOW SERVICE DELIVERY RESPONSIBILITIES**

Fellows participate in the entire range of professional services and functions at CAPS and SoS. Supervision, case conferences and staff development sessions ensure that fellows obtain the necessary support and knowledge to fulfill their clinical and consultation responsibilities in a professional manner.

### **A. Individual Counseling and Psychotherapy**

Fellows provide One at a Time (OAAT) sessions. While CAPS has no explicit session limit, most students will be seen one time and invited to contact that provider, or another CAPS provider, in the future as needed. For clients who need to be seen on an ongoing basis, the fellow is encouraged to discuss the case in supervision and document the rationale in the notes. Occasionally, fellows may also see couples. In SoS, fellows manage their own caseloads in a short term model, which may vary in size depending on the need of their clients, and time available on the fellows' schedules. Most clinical work is short term in SoS, with clients usually seen no more than a semester.

Fellows are able to carry 2 ongoing long-term clients during the year (1 in CAPS and 1 in SoS). These cases are assigned through discussion in supervision, in order to ensure that cases are appropriate for ongoing longer-term care in CAPS or SoS.

Over the fellowship year, an effort will be made to provide fellows with a wide range of clients with differing concerns and levels of severity. The following are guidelines for fellows with regard to case management and requirements:

1. Fellows will document notes of all clinical contacts with clients in the client's CAPS and SoS electronic medical record (EMR) on the same day of the contact. These include counseling sessions, telephone calls, contacts with third parties related to the case, consultations with senior staff and case conference presentations or discussions. A copy of all correspondence with a client or other individuals regarding the client must be filed in the CAPS or SoS chart.
2. Fellows will have each of their CAPS clients sign a "**Supervisory Disclosure Form**" - providing clients with information about the fellow's status and the name of the fellow's supervisor. Fellows will do the same for all SoS clients.
3. For training purposes, fellows may see 2 clients on a long-term basis. See above for assignment of long-term cases.
4. Fellows will close cases in a timely manner by completing the Termination note in the EMR. Supervisors must review and countersign all chart notes and case summaries.

## **B. New Client Hours**

In SoS, fellows have up to 2 intakes a week. Those clients are then on the fellow's caseload, and they are responsible for treatment planning, referrals, transfers as needed, etc.

## **C. Crisis Counseling**

In order to ensure access for urgent/emergency counseling services for Berkeley students, CAPS counseling staff provide "On-Call OAAT" sessions, Monday – Friday, 10:00 am to 5:00 pm. These sessions are for students who need/request to be seen (possibly onsite) and likely presenting with some level of distress. During these times fellows will respond to urgent consultation calls ("third party calls") from faculty and staff. Fellows are strongly encouraged to seek consultation from senior staff in urgent or complex cases.

## **D. Group and Workshop Leadership**

CAPS also offers a limited number of workshops for students. Fellows may lead a CAPS group in the Spring semester and/or workshops through assignment and under the direction of the Group Coordinator and Clinical Director. Fellows may have the opportunity to lead a CAPS group in the Fall semester and if so the time would come from "untemplated hours". In SoS, fellows may request to co-facilitate groups. This opportunity is encouraged, but also is dependent upon availability in the fellow's schedule.

## **E. Consultation and Outreach Program**

CAPS and SoS is actively involved in outreach and consultation services to the university community. These services include workshops, training seminars, lectures and consultation to faculty and staff. CAPS is also involved in collaborative programs with other university departments, including training peer counselors and liaison work with the Residential Life Program. As part of outreach responsibilities, each fellow will participate in at least 2 outreach activities per semester.

## **F. Administrative Activities (Case Management)**

An average of 2 hours each day is reserved for charting, returning phone calls, preparing programs and administrative tasks (i.e., case management).

## **G. Professional Development**

Fellows attend all professional development activities sponsored by Student Mental Health. In the Fall semester fellows may attend the Northern California Director of Trainings' Conference. Fellows may use up to 40 hours for paid professional development. This time may be used for professional conferences, job search activities (interviews), licensure process, or other activities consistent with goals identified at the

beginning of the fellowship year. Note: *All professional development time must be approved in advance by the Director of Training or the Director of Social Services.*

## **VII. EVALUATION PROCEDURES**

Evaluation is an important and integral part of the fellowship experience. The CAPS training staff (Director of Training, Coordinator, supervisors, seminar leaders, & Training Team,) is committed to providing ongoing feedback and evaluation of fellows' performance in order to facilitate professional growth and development. Fellows also evaluate their supervisors, coordinators, and the fellowship program as a whole on a regular basis.

### **A. Evaluation of 2nd Year Post-MSW Fellows**

Evaluation of fellows begins during the orientation period when each fellow and supervisor are asked to review the evaluation form and identify specific interests, training needs and training goals and objectives. The evaluation process consists of ongoing and formal evaluations as follows;

1. **Ongoing assessment** provides the fellow with information regarding their progress and occurs during regularly scheduled individual supervision sessions. At the beginning of the year, supervisor and fellow review the evaluation form and establish priorities for supervision in the areas of professional conduct and ethical issues, assessment, counseling skills, crisis assessment and intervention skills and outreach and consultation skills. This ensures that both fellow and supervisor have a clear understanding of their mutual expectations and responsibilities, as well as areas of emphasis or interest. It is expected that feedback and discussion are ongoing throughout the supervision process. Thus, if goals are not being met, such feedback is given prior to the formal written evaluation, enabling the fellow to focus attention on the specified area or areas in need of improvement.
2. **Formal written evaluations** are completed by supervisors in January and July and are submitted to the Coordinator. (See 2nd Year Post-MSW Evaluation Form). Areas for growth and specific suggestions for the fellow's further professional training are identified and recorded in these evaluations. Written evaluations are discussed and signed by both supervisor and fellow and then submitted to the Coordinator. The evaluations are reviewed by the Director of Training and the supervisors and are then filed in the fellow's personnel file.

### **B. Evaluation of the Training Program**

Fellows are encouraged to evaluate the program throughout the fellowship year. If a fellow has a special request or suggestion, this may be raised with any of the supervising staff, the supervisors, the Coordinator, or the Director of Training. In addition, the

following procedures are in place to ensure that fellows' concerns and needs are addressed.

1. Fellows formally evaluate their supervisors in writing each semester, in January and July (see Supervisor Evaluation form). In addition they evaluate the Coordinator and in July.
2. In January and July of the training year, fellows are required to evaluate in writing all aspects of their fellowship experience. This evaluation focuses on specific areas of strength and weakness of the program, including suggestions for improvement. Fellows' evaluations are reviewed by the Director of Training, Coordinator, and supervisors, and are used to explore and implement appropriate changes in the program.

## VIII. DUE PROCESS : NOTICE, HEARING, and APPEAL

Many problems that arise in the course of the 2nd year post-MSW fellowship year are a normal part of the process and are handled informally during supervisory sessions. The discussion and resolution of these problems are seen as opportunities for the fellow's professional growth. Similarly, grievance procedures and due process are envisioned as opportunities to collaborate in the remediation and/or resolution of problems or concerns regarding a fellow's competence or progress.

Additionally, since fellows are employees of the University of California, applicable personnel policies are considered in the handling of more serious situations.

### A. Due Process: General Guidelines

Due process ensures that the fellowship program's decisions about fellows are neither arbitrary nor personally based. Specific evaluative procedures apply to all fellows and appeal procedures are available for fellows who wish to challenge the program's actions. There will be a Notice, Hearing, and Appeal process (see below). General guidelines are as follows:

1. The fellowship program's expectations related to professional functioning are presented to fellows in writing (see 2nd Year Post-MSW Fellow Evaluation Form in binder).
2. Evaluations occur at specified times, with the procedures for evaluation clearly stated in writing.
3. **Notice:** Competence problems are clearly defined in writing and opportunities for discussion and clarification are provided if necessary.
4. The fellowship program will institute a remediation plan for identified inadequacies, including a time frame for expected remediation. Consequences for not rectifying the inadequacies in a timely fashion are clearly stated in writing.
5. **Appeal:** Procedures for how a fellow may appeal the program's action are included in the 2nd Year Post-MSW Fellowship Program Manual, which is provided to fellows at the beginning of the fellowship.
6. The fellowship program ensures that fellows have sufficient time to respond to any action taken by the program.
7. The fellowship program considers multiple professional sources when making decisions or recommendations regarding a fellow's inadequate performance or competence problems.

8. The fellowship program documents the action taken by the program and the rationale for the action, and provides this documentation to all relevant parties.

## **B. Definition of Competence Problems**

For purposes of this document, a competence problem is defined broadly as an interference in professional functioning which is reflected in one or more of the following ways: (1) an inability and/or unwillingness to acquire and integrate professional standards into one's professional behavior; (2) an inability to acquire professional skills in order to reach an acceptable level of competency; and/or (3) an inability to control personal stress, psychological dysfunction or strong emotional reactions which interfere with professional functioning. Evaluative criteria which link this definition of competence problems to particular professional behaviors are incorporated in the evaluation forms for clinical work which are completed by supervisors.

When a fellow's behavior becomes a competence issue rather than just problematic is a matter of professional judgment. For the purposes of this document, a problem refers to behaviors, attitudes or characteristics, which, while of concern and requiring remediation, are not unexpected or excessive for professionals in training. Problems typically become competence issues when they include one or more of the following features:

1. The fellow does not acknowledge, understand or address the problem when it is identified.
2. The problem is not merely a reflection of a skill deficit, which can be rectified by academic or didactic training.
3. The quality of services delivered by the fellow is sufficiently negatively affected.
4. The problem is not restricted to one area of professional functioning.
5. A disproportionate amount of attention and time by training personnel is required.
6. The fellow's behavior does not change as a function of feedback, remediation efforts, and/or time.

## **C. Procedures for Responding to Inadequate Performance**

It is important to have meaningful ways to address a competence issue once it has been identified. If a fellow receives an "inadequate" rating on any evaluations or if one or more staff members have serious concerns about a fellow's behavior or performance, there are several possible and concurrent courses of action. These include but are not limited to the following:

1. Increasing supervision, either with the same or another supervisor.

2. Changing the format, emphasis, and/or focus of supervision.
3. Recommending or requiring personal therapy, specifying for all parties involved the ways in which therapy contacts will be used in the evaluation process for the fellow.
4. Reducing the fellow's clinical or other workload and/or requiring specific adjunction professional development workshops/classes.
5. Recommending a leave of absence.

When a combination of the above interventions does not rectify the competence problem after a reasonable time period (which is specified at the beginning of the remediation process), or when the fellow seems unable or unwilling to alter the behavior, the training program may take more formal action, including:

1. Giving the fellow a limited endorsement, including the specification of those settings in which he/she can function adequately.
2. Communicating to the fellow that they have not successfully completed the fellowship.
3. Recommending and assisting the fellow in implementing a career shift.
4. Terminating the fellow from the training program.

These formal steps must be appropriately documented in writing and implemented in a manner consistent with due process procedures.

#### **D. Remediation Actions**

There are several levels of remedial action that can be taken if a significant concern about a fellow's professional conduct, professional development or performance arises during the fellowship.

##### **1. Verbal warning**

If a significant concern about a fellow's progress or behavior arises, the staff member with the concern will consult with the Director of Training to determine the seriousness of the behavior and the level of remediation. The fellow's primary supervisor will be consulted and directed to give the fellow verbal warning, as well as to discuss the concerns with the fellow.

If discussion of the concern with the fellow is sufficient and potential remedial actions can be agreed upon by the fellow and supervisor, no



further procedures are needed. No record of this action is kept.

## **2. Formal NOTICE (written acknowledgment)**

If, upon discussion with the fellow, the supervisor decides that additional feedback or action is needed, a meeting of the fellow, supervisor and Director of Training is arranged. At this point, written acknowledgment is given to the fellow by the Director of Training, formally stating that: (a) the Director of Training is aware of and concerned about the fellow's performance; (b) the concern has been brought to the attention of the fellow; (c) the Director of Training will work with the fellow to rectify the problems or concerns; and (d) the problems/concerns are not significant enough to warrant more serious action. This written acknowledgment is placed in the fellow's file temporarily and is removed when the fellow successfully responds to the concerns.

**3. HEARING:** The supervisor or staff member will hold a **hearing** with the Director of Training and fellow within 10 working days of issuing a Formal Notice to discuss the problem and determine what action needs to be taken to address the issue. If the Director of Training is the supervisor who is raising the issue, a member of the Training Team and/or additional Senior Staff member who works directly with the fellow will be included at the hearing. The fellow will have the opportunity to present their perspective at the hearing and/or to provide a written statement related to their response to the problem (which will then be reviewed by the Director of Training and staff/supervisor to determine the outcome).

**HEARING Outcomes:** The result of the hearing will be any of the following options (listed below), to be determined by the Training Director and other faculty/staff member who was present at the hearing. This outcome will be communicated to the fellow in writing within 5 working days of the hearing.

### **1) Remedial action – written warning**

If the fellow does not respond in a satisfactory manner to the verbal warning and written acknowledgment, a written letter of warning will be given. This is a written communication of warning to discontinue an inappropriate action or behavior. This letter will be kept in the fellow's personnel file. The letter will contain: (a) a description of the fellow's unsatisfactory behavior or performance; (b) necessary actions by the fellow to correct the unsatisfactory behavior; (c) a timeline for remediation of the problem; (d) the actions that will be taken if the problem is not corrected in the specified time frame; and (e) notification that the fellow has the right to request a review of this action (see Appeals Process below). Consideration may be given to removing this letter from the fellow's file at the end of the fellow's service at SMH by the Director of Training in consultation with the Leadership Team, Training Team, SOS Director, Fellowship Coordinator, and the fellow's supervisor. If the letter is to remain in the

file, documentation will contain the position statements of the parties involved in the dispute.

**2) Remedial action – modification of clinical responsibilities** In certain cases, the fellow's responsibilities may be modified for a limited time period in order to facilitate the remediation of specified problems or concerns. This modification is an accommodation designed to help the fellow to return to a more professional productive state. There is the full expectation that the fellow will complete the fellowship. Several possible and concurrent courses of action may be included in this modification (see Remediation Considerations, above). The length of this period as well as its termination will be determined by the Director of Training in consultation with the fellow's supervisor.

### **3) Probation**

Probation is a time-limited training period for the fellow, which is remediation-oriented. Its purpose is to bring the fellow to a more professionally productive state. This period will include more closely scrutinized supervision conducted by the regular supervisors in consultation with the Director of Training. The Director of Training will monitor for a specified length of time the fellow's progress in changing or improving the behavior of concern. The fellow is informed in writing of the probationary status, including: (a) a description of the unacceptable behaviors; (b) recommendations for correcting the behaviors; (c) a specific time frame for the probation; (d) the criteria for determining whether the problem has been addressed; and (e) notification that the fellow has the right to request a review of this action.

If the conditions of probation are not met, the Director of Training will consult with the fellow's supervisor and the Leadership Team to consider termination of the fellowship. The fellow will be notified in writing and informed of the right to appeal this decision.

### **4). Dismissal from the fellowship**

Dismissal involves withdrawal of all privileges associated with the fellowship at SMH, including all agency responsibilities. This action is invoked in cases of severe violations of the NASW Code of Ethics or California laws in which the imminent harm to a client either physically or psychologically is a major factor. This action is also invoked in cases where specific attempts at remediation do not, after a reasonable length of time, rectify the competence problems and the fellow is unable or unwilling to alter his/her behavior. This action is also invoked when the fellow is unable to complete the fellowship due to severe physical, mental or emotional illness.

The decision to dismiss a fellow from the fellowship is not made lightly and is made by the Director of Training and supervisors in consultation with the Leadership Team and the UHS Human Resources Manager. The fellow will be notified in writing of the decision.

## **E. Due Process and Appeal Procedures**

The primary purpose of due process is to provide a mechanism by which all decisions made by the Director of Training and supervisors regarding remediation and the fellow's status at SMH can be fairly reviewed. Due process is a mechanism by which a fellow may challenge any decisions made or bring a specific complaint against a staff member. Due Process include the elements of Notice, Hearing, and Appeal. Through this process, members of the training staff may also initiate action against a fellow.

### **1. Fellow APPEAL**

If a fellow is dissatisfied with an evaluation or wishes to challenge any remediation actions taken by members of the training staff, they may request a review of the decision or actions. In order to challenge any decisions, the fellow must, within 5 working days of receipt of the decision, notify the Director of Training in writing of the request for an APPEAL. As part of the challenge, the fellow must provide the Director of Training with information supporting the fellow's position or concern. Within 3 working days of receipt of this notification, the Director of Training must consult with the Training Team, Leadership Team, and an Appeals Review Committee will be convened.

### **2. Review Committee and Appeals Process**

When necessary, the Director of SMH will convene an Appeals Review Committee to review decisions made by the Director of Training and supervisors regarding a fellow. The following procedures will guide the arbitration committee process:

- a. The committee will be composed of three staff members selected by the SMH Director. The fellow involved may recommend staff members for the committee.
- b. Within 5 working days, the review committee will conduct a **hearing** in which all relevant material is presented. The fellow has the right to hear all facts about the concern, as well as to present supporting materials of their own. The fellow also has the right to dispute or explain the concerns

presented.

- c. Within 5 working days of completion of the **hearing**, the Appeals Review Committee will submit a written report to the SMH Director, including any recommendations for further action.

Decisions will be made by majority vote of the committee.

- d. The SMH Director will review the decision and either accept or reject the recommendations of the committee within 2 working days of receipt of the report.

- e. If the SMH Director accepts the recommendations, the Director of Training is informed and informs the fellow and supervisors of the decision.

- f. The SMH Director may reject the recommendations and refer the matter back to the Appeals Review committee for further consideration (such as the gathering of further documentation).

- g. Instead of referral back to the Appeals Review committee, the SMH Director may make a final decision.

- h. The Director of Training will inform the fellow and supervisors of the decision.

- i. The fellow may dispute the SMH Director's final decision by contacting the University Health Services' Human Resources Manager.

## **IX. FELLOWS' DUE PROCESS & GRIEVANCE PROCEDURES FOR VIOLATIONS OF THEIR RIGHTS BY OTHERS**

Violations of fellows' rights include, but are not limited to: exploitation; sexual harassment; arbitrary, capricious or discriminatory treatment; unfair evaluation practices; inappropriate or inadequate supervision or training; and violation of due process. In instances of workplace-related complaints, fellows have the option of using the procedures established by the University to handle such matters or using the SMH internal procedures outlined below. Complaints related to aspects of the training per se will typically be adjudicated according to SMH internal procedures.

### **SMH Internal Procedures**

1. Fellows should make every effort to resolve their complaints directly with the person who is the subject of the complaint. When such resolution is not practical due to

power and authority differences or other factors, fellows are encouraged to seek consultation from a senior staff member to explore ways of reaching resolution.

2. If resolution is not possible directly with the person who is the subject of the complaint, fellows are then expected to discuss the situation with the Director of Training (or the Director, if the Director of Training is the subject of the complaint).

3. Discussion with the Director of Training may result in conflict mediation processes being implemented as an initial course of action to assist in resolving the complaint. If the fellow wishes to lodge a formal complaint, then this will need to be submitted in writing to the Director of Training with sufficient details describing the nature of the alleged infractions. The Director of Training will then establish a fact finding committee to investigate and review the complaint, and to recommend actions. The fact finding committee will have 10 working days from receipt of the written complaint to issue its recommendations. A written response by the Director of Training shall be issued within 5 working days thereafter.

4. If a fellow is not satisfied with the Director of Training's response, an appeal can be made to the Director of CAPS, the Director of SoS within 5 working days of receiving the decision. The Directors will then set up an Arbitration Committee at the request of the fellow (following the same procedures outlined above). The Committee will have up to 10 working days to respond.

5. If the fellow wishes to appeal the Committee's decision, then he or she must file a letter addressed to the Directors within 5 working days of receiving the decision. The Directors will have the option of upholding the Committee's decision as being final; or the Directors may then implement his or her own fact finding procedures within an additional 5 working days, with up to 10 working days to respond with a decision. The Director's decision after this second fact finding will be final within the agency.

## **IX. FELLOWSHIP PROGRAM PROCEDURES**

### **A. Professional Development Time**

Fellows attend all professional development activities sponsored by CAPS. In the Fall, fellows are invited to attend the Northern California Director of Trainings' Fall Conference. Fellows may use up to 40 hours for professional development. This time may be used for professional conferences and job search activities. Requests for professional development leave must be made to the Director of Training through email using the online "Schedule Adjustment" form. Requests for use of professional development time during SoS time should be emailed directly to the SoS Director. This time may NOT be used as vacation time (e.g., at the end of the fellowship year).

### **B. Advancement from 1<sup>st</sup> to 2<sup>nd</sup> Year Post-MSW Fellowship Program Policy**

The fellowship consists of a 1st and a 2nd year program. At the time of acceptance fellows are accepted into the 1st year program with a 1 year employment contract. The expectation is that 1st year fellows will continue on and complete the 2nd year program. To participate in the 2<sup>nd</sup> year program fellows must demonstrate satisfactory performance as measured in their Fall evaluations.

Satisfactory performance is defined as earning at least an average performance rating of "3" in fall evaluation forms from SoS and CAPS supervisors. Evaluations will be reviewed with the Post-MSW Fellowship Coordinator and each fellow at the end of the Fall semester, and no later than February 1<sup>st</sup>. The Post-MSW Fellowship Coordinator will then make a recommendation to the Training Director regarding advancement. Confirmation of successful advancement will occur in February.

If a fellow does not meet satisfactory performance standards by the end of the Fall semester, and/or there are concerns about the fellow's fit for the program, the Post-MSW Fellowship Coordinator, in consultation with the fellow, Training Director and fellow's supervisors, will discuss options for addressing performance concerns and/or concerns about fit, including implementation of a remediation plan if needed (per Training Manual), and a new timeline for evaluating performance and determining if advancement to the 2<sup>nd</sup> year will be created and approved.

### **C. Schedule Adjustments**

Occasionally, fellows may work beyond the typical workday schedule. In these instances, fellows should make every effort to adjust their schedules and take time off during that week to compensate for this overtime work. Fellows are "exempt" employees, and therefore do not accrue comp time.

### **D. Vacation and Sick leave**

Fellows are paid monthly, on the first day of the month. Fellows receive 16 hours per month of vacation and 8 hours per month of sick leave. Sick leave can be used for medical appointments in addition to being used when feeling ill. It is

important to note that vacation and sick time is accrued per month so it cannot be used in advance. However, since fellows are considered exempt employees, they do not log vacation, sick, or professional development by the hour but in full day increments (8 hours if work a 5 day schedule, 10 hours if 4 day schedule) when reported on CalTime. In addition, fellows are eligible for all paid university holidays included on the calendar [here](#). Please see the Director of Training if you have further questions about this policy.

To request time off in CAPS, use to the following procedure:

1. Complete a Schedule Adjustment form (located on S:/Drive).
  - a. Be sure to find coverage for all **On-Call OAAT hours**. You do not need to find coverage if your request is made **GREATER** than 6 weeks ahead of the requested date.
  - b. Indicate who will be covering your On-Call hours on the schedule adjustment form.
2. E-mail the completed form to the Director of Training.
3. Place a hold in your schedule in PnC.
4. You will hear back when/if your leave request has been approved and the scheduling coordinator will make changes to your schedule.

To request time off in SoS, fellows will email the SoS Director, and will follow the Director's instructions on schedule holds, etc.

#### **E. Medical Benefits**

Fellows receive medical benefits (**note: no dental or vision**) through the University of California, Berkeley. At the beginning of the year, fellows discuss benefits options with the UHS Human Resources Department. The Human Resources Department assists fellows in making choices and enrolling for these benefits.

#### **X. EXIT CRITERIA**

In order to successfully complete the fellowship, each fellow must meet the following criteria:

1. No significant ethical violations were committed by the fellow.
2. Supervisor evaluations indicate that the fellow's performance is consistent with the expected level of performance for a clinical social worker.
3. All written records required of the fellow have been completed, including progress notes, treatment plans and case summaries.
4. The fellow has completed all required evaluations of supervisors and the program.
5. The fellow has received evaluations from all supervisors and has completed the exit interview with the Coordinator.

Fellows who successfully complete the fellowship will receive a “Certificate of Completion” at the end of the year.

**XI. Duration of Fellowship Program**

The 2nd Year Post-MSW Fellowship is a full-time 12-month program. The weekly time commitment for fellows is 40 hours. The annual stipend for fellows is \$60,000 for 12 months.