



 **Arizona Psychology Training  
Consortium**

**Policy & Procedures**

[www.azpa.org](http://www.azpa.org)

*Updated 8/26/17*

# Table of Contents

Introduction.....	3
Consortium and Training Sites .....	3
APPIC Membership .....	4
Affiliation Criteria .....	5
Training Requirements .....	6
Resident Supervision .....	7
Affiliation and Initial Application Process for Training Sites .....	9
Training Site Monitoring .....	9
Application Process for Residents and Didactic Guests.....	11
Resident Training Agreements .....	12
Training Site and the Trainee .....	12
Resident Responsibilities .....	13
Record Keeping .....	13
Didactic Training .....	15
Evaluation of the Resident's Performance.....	16
Due Process Procedures for Resident Performance .....	17
APPENDIX A: Initial Consultation Site Visit Procedure.....	23
APPENDIX B: Initial Site Visit Report / SAMPLE TEMPLATE.....	24
APPENDIX C: Annual Site Visit Report / SAMPLE TEMPLATE.....	25
APPENDIX D: Postdoctoral Site Renewal Checklist.....	26
APPENDIX E: Supervisor Information Form.....	30
APPENDIX F: Didactic Training Agreement Form for Consortium Guests.....	31
APPENDIX G: Consumer Representative to the Consortium Board of Directors.....	32

## **Introduction:**

The Arizona Psychology Training Consortium is a 501(c)(3) non-profit subsidiary corporation of the Arizona Psychological Association. The Arizona Psychological Association (AzPA) oversees all the administrative and financial operations of the Consortium. The Arizona Psychological Association (AzPA) established the Arizona Psychology Training Consortium to facilitate the development of postdoctoral residency training opportunities. The Arizona Psychology Training Consortium is a multi-site training program that provides organized, sequential learning experiences for postdoctoral residents. The Consortium ensures an integrated training experience through shared standards, common procedures, and joint didactic learning programs. The Consortium brings together urban and rural training sites to provide broad exposure to differing models of training and service delivery. There is a particularly strong emphasis on advanced training in cultural competence. The Consortium is intended to increase the availability of high quality postdoctoral training in Arizona.

## **Consortium and Training Sites**

The Consortium and the various training sites expressly agree and understand that the Consortium serves as a placement and training entity only. No employment contract, express or implied, is created between the Consortium and the affiliated training site. Affiliation with the Consortium does not establish any legal or financial obligations with the Arizona Psychological Association or other affiliated training sites within the Consortium.

All aspects of the residency will be carried out in accordance with all requirements of Arizona Revised Statutes § 32-2061 *et seq.*, the rules of the Arizona Board of Psychologist Examiners, and all other applicable statutes.

The Consortium offers a two-year residency in neuropsychology and a one-year residency in other psychology practice specialties. Postdoctoral residencies may start at varying times during the training year. The one-year postdoctoral residencies consist of either 1,500 or 2,000 total hours for full-time postdoctoral residents, or either 750 or 1,000 hours for half-time postdoctoral residents.

Each training site determines whether it will provide a 1,500 or a 2,000-hour training program. Arizona licensure law specifies that supervisees cannot accrue more than forty hours of training experience in any one week. Supervisees at 1,500-hour sites will therefore take at least thirty-eight weeks to complete their supervised hours. Supervisees at 2,000-hour sites will take at least fifty weeks to complete their supervised hours.

The annual stipend is to be no less than \$30,000.00 for residencies. This stipend is independent of the supervisor's or agency's billings or collections and is not based on a percentage of billings or collections. The trainee will not receive fees directly from any client, or on behalf of any client, from any third-party payor.

Residency training sites pay \$500.00 per year in affiliation fees. An additional \$100.00 is required for each additional resident. Fees are due by the start date of the training year. Residents may NOT start their training years or accrue training hours until the site's membership dues are received.

## **APPIC Membership**

The Consortium is a member of the Association of Psychology Postdoctoral and Internship Centers (APPIC) for its postdoctoral residency program. The Consortium and its affiliated training sites adhere to all the published policies and procedures of APPIC. Affiliated training sites may provide internship and other training experiences for non-Consortium supervisees, but sites which employ residents may do so only under the Consortium's program. All residents at each site must be Consortium residents.

If there are any significant changes in supervisors or training activities at any affiliated site, then APPIC needs to be notified by the Consortium within one month. That allows APPIC to have a comprehensive understanding of all the training sites and training activities within the Arizona Psychology Training Consortium.

Each year, APPIC publishes the procedures for APPIC-member programs to select new applicants. The Consortium shall adhere to all APPIC guidelines and procedures on information dissemination, interviewing, selection, and notification. When a training site accepts a postdoctoral resident, it becomes a legally and financially binding obligation to provide training throughout the training year. Site supervisors must ensure that all persons involved in recruiting or selecting postdoctoral residents understand and adhere to these policies. Violations of APPIC policies or agreements may result in APPIC sanctions or legal actions by residency applicants.

## **Affiliation Criteria:**

Affiliated training sites may be individuals, organizations, or institutions that provide supervision and training in the delivery of psychological services. Training sites must meet the following criteria for affiliation in the Consortium:

- 1) Commitment to the advanced training of future psychologists;
- 2) Investment of resources to provide psychological instruction and training opportunities that are appropriate for residents;
- 3) Responsibility to exercise appropriate control, oversight, and review of the psychological services offered by supervisees; and
- 4) Adherence to the membership criteria and other policies and procedures of the Association of Psychology Postdoctoral and Internship Centers (APPIC).
- 5) Adherence to the Residency Selection Procedures of the Arizona Psychology Training Consortium.

## **Amendments to the Affiliation Agreement**

Each of the Consortium's training sites must sign and abide by the Affiliation Agreement, including provision of the documents required by that agreement such as copies of licenses and professional liability insurance for all supervising psychologists. In specific cases, the Board of Directors of the Consortium and the affiliated training site may amend the Affiliation Agreement by mutual agreement. The procedure for notification and amendment is described in the Bylaws of the corporation.

## **Training Requirements:**

First, the Director of Training for the Consortium shall have primary responsibility for the provision of training by the Consortium, and shall be responsible to the Consortium Board of Directors. Each affiliated training site shall designate a psychologist who has primary responsibility for training activities at that site. The primary psychologist shall maintain regular communication with the Director of Training of the Consortium to ensure coordination of training activities and compliance with Consortium policies and procedures.

Second, all postdoctoral residency training for Consortium supervisees conducted by the affiliated training sites shall be done under the auspices of the Arizona Psychology Training Consortium. The Consortium will provide regular, scheduled opportunities for residents to interact with supervisees from other sites. All supervisees will participate in training with at least a primary and secondary supervisor, representing different models of psychotherapy, assessment, research, and consultation. Residents must be available to attend Consortium training activities. Didactic seminars will be conducted at various locations throughout Arizona, including at some affiliated training sites.

Third, for the supervision of postdoctoral residents, psychologists must have at least two years of licensure. It is desirable that other behavioral health professionals participate in multidisciplinary training, but those training hours do not count toward the individual, face-to-face supervision hours required for licensure. Postdoctoral residents must receive a minimum of one hour of individual supervision each week for each twenty hours of supervised experience. Additional supervision may be required for the remediation of documented deficiencies in supervisee performance. Licensed psychologists who are directly involved in resident supervision must provide a copy of their current curriculum vitae to the Consortium.

Fourth, supervisees must be exposed to a breadth of professional roles and services at their training sites. Within the Consortium, residents require supervision from at least two supervisors who are licensed psychologists. The Consortium encourages supervisee participation in case conferences, grand rounds, in-service trainings, and other learning experiences.

Finally, upon successful completion of each resident's training, the Arizona Psychology Training Consortium will award a Certificate of Completion. A Certificate of Completion from an APPIC-member training program will simplify licensure and credentialing procedures in Arizona and other states.

## **Resident Supervision:**

The primary supervisor is a psychologist licensed for the independent practice of psychology in Arizona. The primary supervisor will designate a licensed psychologist as the secondary supervisor to provide additional supervision. The primary supervisor may also assign supplemental training activities in specific skill areas to be provided by other licensed or certified professionals, under the authority of the supervisor. Supervisors have full clinical and legal responsibility for the activities of their supervisees. In clinical decisions, supervisees must follow the directions of their clinical supervisors, who have final authority over all services provided to training site clients. The Consortium does not provide liability insurance for the supervisory and training activities of its affiliated training sites. Affiliated training sites, supervisors, and supervisees must carry professional liability insurance for the duration of the residency.

Supervisors agree to provide directly, or by way of another supervising psychologist, a minimum of one hour of face-to-face, individual supervision for each twenty hours of supervised experience. This supervision will have the express purpose of dealing with the services rendered by the resident. It is further specified that additional hours of supervision will be provided when necessary to insure the adequate quality of psychological services provided by the resident. Secondary supervisors must provide at least one hour of individual supervision per month. Supervisors must provide regular feedback about the performance of their residents to the Director of Training of the Consortium. Supervisors will determine whether the resident is capable of providing competent and safe psychological services to each client assigned.

The private actions and behaviors of the trainee which are not relevant to, nor expressed in, the training setting shall not be addressed in the supervisory relationship. The supervisors shall not provide psychotherapy to the resident. All supervisors are required to maintain records of supervision sessions with their residents. Please see the section on 'Record Keeping' for specifics.

Supervisors and residents must develop a written plan on how supervisees can immediately access their supervisors in the event of clinical emergencies. The plan should include accessibility on evenings, weekends, and vacations.

The supervisors will not permit the resident to engage in any psychological practice that the supervisor cannot competently perform. Supervisors must provide and discuss the performance evaluations with their supervisees, incorporating constructive recommendations for professional growth. Whenever there are significant concerns about a supervisee's performance or professional behavior, those concerns must be documented in the supervision records. The Director of Training shall receive a copy of any documented concerns. Supervisors are encouraged to consult with the Director of Training if there is any problem in any aspect of the training process.

The supervisor and resident confirm that there exists no relationship between them except that of supervising psychologist and psychology resident. They agree that no other relationship shall be created between them for the duration of the training experience that has the potential to compromise the quality of services to clients, the objectivity of the evaluation of the resident, or that may result in exploitation of the resident or any client. The supervisor shall not receive any supervision fees, salary, compensation, honoraria, favors, or gifts from the resident. The resident will not pay office rent, telephone expenses,

or any other office or business expenses. If either the supervisor or resident is unsure regarding the appropriateness of their relationship, or prospective relationship, the matter shall be brought to the attention of the Director of Training for review and clarification.

The supervisor will consult with the Director of Training if he or she believes the psychology postdoctoral resident may have violated legal, ethical, or professional standards or has failed to comply with the Resident Training Agreement. The postdoctoral resident, the supervisor, the organization, and the Director of Training may pursue informal conflict resolution through the Association of Psychology Postdoctoral and Postdoctoral Residency Centers (APPIC). The formal resolution of these concerns will follow the *Collaborative Problem Resolution* document of the Arizona Psychology Training Consortium. The supervisor shall be able to immediately suspend the psychology postdoctoral resident from practicing in specified cases or in all cases. In some instances, reporting the allegations to an appropriate licensing board or professional association may be required.



## **Affiliation and Initial Application Process for Training Sites**

The affiliation process involves the following steps, listed below:

1. The primary supervisor of the prospective training site completes a *Training Site Application Form* found on the AZPTC website
2. The primary supervisor submits the application along with a copy of her/his professional liability insurance to the chair of the Consortium's Training Committee.
3. A \$500.00 application fee must accompany the application.
4. Two Consortium Board members will review the application and conduct a site visit. Specific procedures for an initial site visit are specified in *Appendix A*.
5. A structured interview is used to ensure that each site meets the Consortium and APPIC's standards for quality training.
6. The site visitors prepare a written report and submit it to the Consortium Board of Directors. A sample report appears in *Appendix B*.
7. The Consortium Board votes, either during a Board meeting or electronically, to accept or deny the site's application.
8. The Director of Training will notify the site of the result of the Board's vote.

All steps above must be completed for a site's application to be approved. A resident will not officially begin training until their application is complete and approved. No resident may begin accruing training hours until the site's application is approved by the Consortium's Board of Directors.

### **Site Monitoring**

All training sites within the Consortium receive ongoing monitoring. At least once annually, Consortium Board members conduct site visits. These site visits afford the opportunity to review Consortium training guidelines with the supervising psychologist at the training site to ensure compliance with the *Policies and Procedures Manual*. Annual site visits are typically completed by mid-February.

A renewal checklist, along with a structured interview, is completed, covering several topics related to the quality of training. A copy of the *Residency Renewal Checklist* can be found in *Appendix D*.

Each site visit consists of the following procedures. Call or email the primary site supervisor and current resident(s) to schedule a date and time for a site visit. Allow at least 2 hours for the site visit (this is to allow time for a meeting with the supervisors as well as a separate meeting with the current trainee(s)).

Inform the site supervisor that you will be providing an AZPTC *Postdoctoral Renewal Checklist (Appendices D & E)* three weeks prior to the site visit and that the *Checklist* needs to be completed and returned prior to the actual visit. Also email sites *Form A*,

asking for current license information and ask that they have copies of current licenses of supervisors if there are changes since the previous year.

Site visitors must review the *Checklist* prior to completing the site visit (or at the beginning of the visit if you do not receive it until then) and follow up on any concerns that may have been identified.

If the primary supervising psychologist is unable to be present, one of the secondary site supervisors must attend.

Additionally, all site visits should include:

- Meeting with at least one of the current site supervisors and more if possible.
- A review of any changes that have been made at the training site.
- A separate brief meeting with the current AZPTC residents. (The main purpose of this meeting is to identify you as another contact for the trainees, and to elicit their current feedback about the site and the Consortium.)

*Suggested questions to ask supervisor(s) during annual site visits:*

- Do you have any questions about the Consortium and your membership?
- How are things going at your site this year?
- What do you enjoy about supervising?
- Are you anticipating any changes in your program or funding?
- What are your biggest challenges when supervising?
- Are there any suggestions that you have for the didactics that we offer?
- Would you be interested in providing a didactic training?
- Would you like to attend a didactic training?
- How can we (the Consortium) support you to help train psychologists?
- How would you like to see the AZPTC grow and develop? Thank you for working with us to make sure we offer great training opportunities.

*Suggested questions to ask during the interview with resident(s):*

- Do you have any questions about the Consortium?
- How are things going at your training site?
- What do you enjoy most about your training year thus far?
- What are your biggest challenges?

It is important that the site visitor addresses any changes that have been made to the training site since the last site visit. The *Supervisor Information Form (Appendix E)* should also be completed. Additionally, the site visitor should request a tour of the training site.

Upon completing the site visit, write a summary of the findings. A sample template is included in *Appendix C* as well as on the AZPTC website. Also email the *Site Visit Report* to all AZPTC Board Members for review prior to the next scheduled Board Meeting.

## **Application Process for Residents**

The Arizona Psychology Training Consortium has a rolling acceptance date for applications. Residencies may begin on any calendar date, and they conclude when all the residency requirements have been met. There is a 36-month limit for completion of residencies.

Residency applicants submit their applications both to the Director of Training and to each site of interest. The resident's educational institution must provide certification that the applicant has or will satisfy all academic requirements for a doctoral degree in Clinical, Counseling, or School Psychology by the proposed start date of the residency. Certification is usually provided through a readiness letter from the resident's departmental chair, dissertation chair, or university registrar. It can also be provided by an official transcript documenting the completion of the doctoral degree

The following is the list of documents needed for a complete application:

- Letter of intent, outlining the specific site(s) to which the prospective resident is applying
- 3 letters of reference
- Official transcript from the graduate program
- Letter of readiness signed by the prospective resident's Director of Training
- Curriculum vitae

An updated list of residency sites is found on the AZPTC website. Once the resident applicant accepts an offer from a site, an orientation is scheduled for the resident, reviewing Consortium training policies and procedures.

## **Application Process for Consortium Guests**

The Consortium invites residents at non-Consortium-affiliated sites to participate in didactic training. The application process consists of the following steps:

1. The interested trainee contacts the Director of Training to request an opportunity to participate as a guest.
2. The Director of Training verifies that there is available space to accommodate the trainee.
3. The Director of Training ensures that the prospective guest has, or will have, completed a doctorate in psychology prior to attending didactic sessions. The Director of Training provides a copy of the *Consortium Guest Training Agreement* form. (A copy of this Agreement Form is found in Appendix G.)
4. Once the trainee signs the Agreement form and submits a guest training fee (\$1200.00), the trainee is granted full access to training didactics for one year.

## **Resident Training Agreements**

Each affiliated training site will complete a *Resident Training Agreement* with each of its postdoctoral residents prior to the initiation of training. A copy of the *Resident Training Agreement* may be downloaded from the Consortium website.

The supervisor and resident shall develop individualized training goals and objectives for the training experience and they shall work conscientiously and cooperatively toward the achievement of these goals. These goals are clearly denoted within the *Resident Training Agreement* form

Training sites, in collaboration with the Consortium, are required to maintain appropriate records of each resident's training for 15 years. Training sites must submit a copy of the *Resident Training Agreement* to the Director of Training for each supervisee.

## **Training Site and the Trainee**

The Consortium and the affiliated training site expressly agree and understand that the relationship between the training site and its trainees is an employment relationship, governed by the laws of the State of Arizona. Both the training site and the resident are advised to resolve any questions regarding Arizona employment law through consultation with a lawyer.

Residents must receive a monthly stipend as identified in the "Consortium and Training Site" section of this *Policies and Procedures Manual*. The Consortium does not allow unpaid residencies. Supervisees may not accept direct payment from clients for services at the affiliated training site. Supervisees cannot be paid on a fee-for-service basis in which their stipend is dependent upon income generation. Thus, fee splitting arrangements are not acceptable for postdoctoral residents. The training sites may bill third party payers for the services of residents if that is allowable within the service contracts of the training site. The training site must provide clients, workspace, and administrative support consistent with providing a high-quality training experience for each supervisee.

Each supervisee will be designated as a "Psychology Resident" to identify his or her training status. Supervisees may have other job titles for hiring purposes, but their roles and titles must be "Psychology Resident."

Supervisees cannot be independent contractors or other semi-autonomous personnel. Affiliated training sites and supervisees shall inform all recipients of psychological services of the training status of the residents. Clients must be informed of the name of the supervisor at the affiliated training site responsible for their treatment.

## **Resident Responsibilities**

The acceptance of a *Resident Training Agreement* by an applicant establishes obligations and responsibilities binding the applicant, the affiliated training site, and the Consortium. It protects the supervisee, the affiliated training site, the Consortium, and the recipients of the psychological services. Residents are obligated to comply with all applicable legal, ethical, and professional standards. These standards include: the American Psychological Association's *Ethical Principles of Psychologists and Code Of Conduct*, Arizona Revised Statutes 32-2061 *et seq.* and rules of the Arizona Board of Psychologist Examiners, specialty guidelines of the American Psychological Association or its divisions, and other statutes and standards applicable to the practice of psychology. The trainee will maintain professional liability insurance for the duration of the residency.

Supervisees must meet the credentialing, security, and health requirements at their training sites at their own expense. They are expected to participate actively in all professional supervisory and training activities. Residents should model professional behavior on an ongoing basis throughout their training experience. Within the Consortium, residents are expected to interact with each other for mutual support and shared learning.

The trainee will inform each client, both verbally and in writing, that he or she is practicing under the supervision of a licensed psychologist and will provide each client with the supervisor's name and means of contacting him or her. As a condition of providing services, the resident will obtain each client's informed, written consent to share confidential information with the supervisor for supervision. The sharing of confidential information with the supervisor may take the form of live observation and/or participation in the provision of psychological services; reviewing video or audio tapes of psychological services; and reviewing and discussing case notes, progress notes, treatment plans, tests, reports, correspondence, or discharge summaries. The resident will not provide services to clients that do not provide this informed consent.

The resident will create and maintain client records consistent with all applicable Arizona Statutes and the rules of the Arizona Board of Psychologist Examiners. These records will remain with the supervising psychologist or the affiliated training site upon the completion of the residency. Clients served will be advised as to how to access their records subsequent to the resident's completion of the training experience. The resident will consult with the Director of Training if he or she believes their supervisor may have violated legal, ethical, or professional standards or has failed to comply with their *Resident Training Agreement*. The resolution of these concerns will follow the *Trainee Grievance Procedures* document of the Arizona Psychology Training Consortium.

## **Record Keeping**

Trainees are responsible to keep track of their training / clinical hours. A monthly log, detailing the time spent in various training / clinical activities, is completed and submitted by the 10<sup>th</sup> day of each month. Additionally, residents are responsible to

ensure that their bi-annual training evaluations are signed and submitted to the Director of Training.

Primary supervisors must keep supervision notes for each resident in a confidential and secured location. Supervision notes should be kept for 15 years post training. The Consortium will maintain monthly logs and evaluation forms for 15 years post training. Supervision records will include the following: a signed copy of the *Resident Training Agreement*; each formal written evaluation of the resident; documentation of supervision meetings; records of the number of hours the trainee devotes to each of the training activities; written summaries of the supervisor's consultations regarding the trainee with the Director of Training of the Consortium; and copies or summaries of all disciplinary and grievance actions. Supervisors will countersign all documents and records prepared by the resident including all assessment notes, treatment plans, interview or progress notes, testing, reports, correspondence, and all other documents generated by the resident in the course of providing psychological services or in communicating with others about such services. All reports or correspondence written by the resident will be on the supervisor's or the organization's official stationery.

## **Didactic Training**

Residents are required to attend regularly scheduled didactic training as provided by the Consortium. The Consortium Training Committee provides a didactic training schedule each year. This schedule is presented to all residents at the beginnings of their respective residencies.

Residents are responsible for travel costs to attend Consortium didactics. Residents are responsible for registration and travel expenses for attending pre-approved training events outside the Consortium didactics.

Trainees must attend the full didactic training presentations. If tardy (consistent with APA governance over CE workshops), trainees will not receive credit for the didactic training. Consequently, the resident will need to contact the Director of Training and explore how to make up for the missed didactic hours.

In addition to training provided by psychologists and other professionals throughout Arizona, residents make presentations of their own research and areas of clinical interest during selected didactic sessions.

*Attendance:* All didactics will be required for all residents, with the proviso that up to four didactic sessions may be missed in favor of outside didactics in the resident's psychological specialty. Only face-to-face, APA-accredited CE events would be acceptable as substitutions for Consortium didactics (no on-line or read-an-article+quiz credits). Educational sessions at the AzPA and AASP annual conventions and attendance at one half-day of Arizona Board of Psychologist Examiners sessions will be regarded as acceptable substitutions.

## **Evaluation of the Resident's Performance**

In accordance with the Consortium's training philosophy, supervisors provide ongoing feedback to residents to assist in their professional development. It is important for residents to understand that communications between trainees and supervisors are not confidential. However, supervisors will use discretion when deciding what is appropriate and necessary to communicate to other trainers.

### **Ongoing Feedback**

Each primary and secondary supervisor is responsible for providing ongoing feedback to residents regarding their strengths, areas for growth, and progress towards successful completion of the postdoctoral residency requirements. Supervisors document the feedback in their weekly supervision notes.

### **Written Evaluation**

The *Resident Performance Evaluation* form is used to evaluate the trainee's professional competence and behaviors. It is completed both at the midpoint and the end of the training experience. The primary supervisor and the resident meet to discuss the evaluation, and both sign it to indicate that it has been reviewed.

In addition, the secondary supervisor must sign the document. The resident may write a response on the *Resident Performance Evaluation* form. The resident shall receive a copy of the *Resident Performance Evaluation*. The resident also provides a written evaluation of the training and supervisory experience. It is recommended that the trainee reviews their evaluation of the training site with each of their supervisors.

Copies of the evaluations are to be kept in the supervision file (maintained by the primary supervisor) and a copy must be submitted to the Consortium to be kept in the resident's file. Evaluation forms can be downloaded from the Consortium website.



## **Due Process Procedures**

The Consortium provides collaborative due process procedures for remediation, disciplinary actions, and grievances. The general guidelines for management of problematic trainee performance, conduct, or skill deficiencies, and due process procedures for problem resolution and trainee grievances are consistent with the accreditation standards of the American Psychological Association. They emphasize due process and assure fairness in decisions about trainees, and provide avenues of appeal that allow trainees to dispute decisions and file grievances.

The spirit that guides due process procedures is dialogue and collaboration. Neither the Consortium nor the affiliated training sites make unilateral decisions unless there is imminent risk to clients, students, trainees, or others. The protection of clients and trainees is the overriding principle in collaborative decision-making.

The Consortium and affiliated training sites follow due process guidelines to ensure that decisions about residents are not arbitrary or personally based. These guidelines include appeal procedures that permit any resident to challenge program decisions. The due process guidelines include the following:

1. Present trainees with the program expectations regarding professional functioning at the start of the training year.
2. Specify evaluative procedures, including the time frame and the method, in the Resident Training Agreement before the start of the training year.
3. Define “problematic behavior.”
4. Provide a remediation plan for skill deficiencies or problematic behavior, including a time frame for remediation and the consequences of not rectifying the deficiencies or problematic behavior.
5. Provide residents with a written description of procedures they may use to appeal decisions and to file grievances.
6. Ensure that residents have sufficient time to respond to any action taken by the program that affects them.
7. Use input from multiple professional sources, including the primary and secondary supervisor at the affiliated training site, when making decisions or recommendations regarding the trainee's performance.
8. Document, in writing and to all relevant parties, the action(s) taken and it’s (their) rationale.

## I. Defining areas of concern

In the Consortium's psychology training program, areas of concern typically fall into one of two areas:

1. ***Skill deficiency.*** Skill deficiencies may include lack of doctoral-level
  - Psychological assessments;
  - Diagnostics;
  - Test administration or interpretation;
  - Forming therapeutic alliances with patients/clients; or
  - Knowledge of pertinent research or additional weaknesses such as:
    - Conducting professional activities beyond the resident's abilities or scope;
    - Disregard for a supervisor's guidance; or
    - Resistance to appropriate opportunities for learning.
2. ***Problematic Trainee Behavior.*** Behaviors are identified as problematic behaviors if they include one or more of the following characteristics:
  - The resident does not acknowledge, understand, or address the problem when it is identified.
  - The problem is not merely a reflection of a skill deficit that can be rectified by academic or didactic training.
  - The quality of services delivered by the resident is sufficiently negatively affected.
  - The problem is not restricted to one area of professional functioning.
  - A disproportionate amount of attention by training personnel is required.
  - The resident's behavior does not change as a function of feedback, remediation efforts, and/or time.

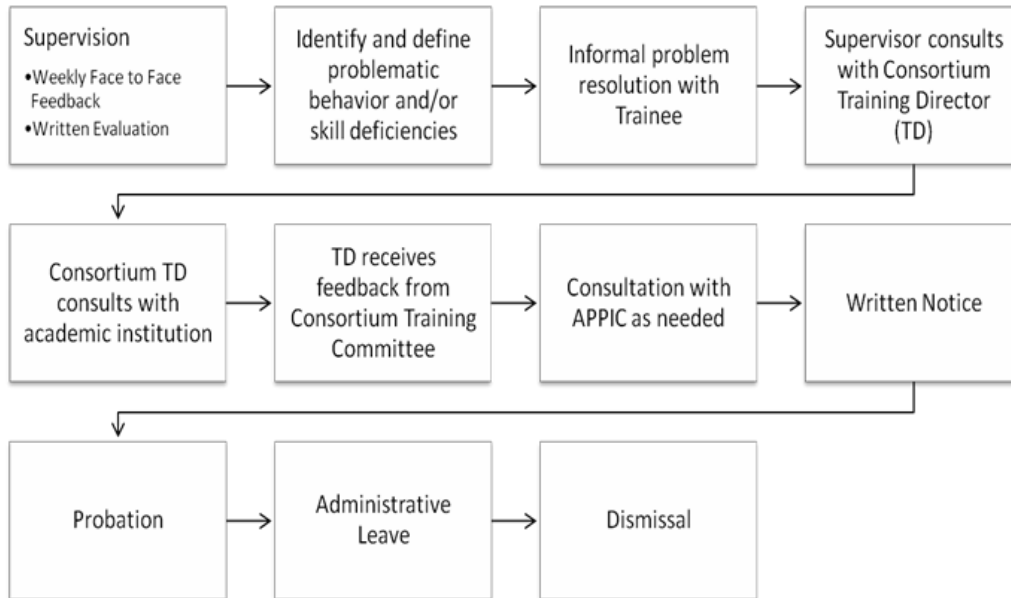
## II. Procedures for responding to a skill deficiency or problematic behavior

### **Initial Response**

If an affiliated training site supervisor or Consortium Training Committee member judges a trainee's performance as reflecting a skill deficiency or problematic behavior, the following procedure will be initiated, unless the Consortium Training Committee determines that immediate disciplinary action is appropriate.

1. A supervisor at an affiliated training site, or a Consortium Training Committee member, notifies Consortium Director of Training that there is a concern about the resident's skills or professional functioning.
2. The Director of Training initially consults with the primary and secondary supervisor at the training site, and perhaps affiliated training site administrators.
3. The Director of Training will seek input from the Consortium Training Committee.
4. The Consortium Director of Training may request informal problem resolution assistance from APPIC.
5. The Consortium Director of Training will speak with the resident to attempt resolution.
6. If the above procedures do not bring resolution, then the Consortium Director of Training may proceed to any appropriate disciplinary action, as described below.

#### Flow Chart for Trainee Problem Resolution



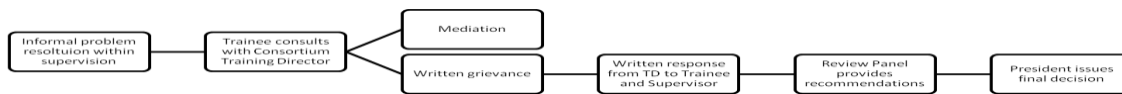
## **Possible Disciplinary Actions**

The Director of Training, after consultation with the Consortium Training Committee, may implement any of the following disciplinary actions. These are not necessarily sequential. The Director of Training will select the course and extent of the action based on the needs of the resident, the affiliated training site, and the clients at the affiliated training site.

1. Written Notice. A Written Notice directs the resident to discontinue unsatisfactory action(s) or behavior(s). The resident will be given a letter specifying the following:
  - a. Notification to the resident that there is unsatisfactory behavior.
  - b. Description of the unsatisfactory behavior.
  - c. Actions required to correct the unsatisfactory behavior.
  - d. Timeline for correction.
  - e. Consequences if the problem is not corrected.
2. Probation. If the area of problematic behavior is deemed serious enough, the resident may be placed on probation. The resident 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. Consequences if the problem is not corrected.
3. Administrative Leave. The resident may be placed on leave, accompanied by suspension of all duties and responsibilities in the agency. The resident will be informed in writing about potential consequences resulting from suspension, which might include inability to complete training hours or other requirements.
4. Dismissal. When appropriate, a resident may be dismissed from the Consortium training program. The resident must receive written notice of dismissal. Dismissal might occur under the following circumstances:
  - a. It is determined that remediation cannot be successfully accomplished;
  - b. Serious violation of ethical standards;
  - c. Serious violation of Consortium or affiliated training site policy and procedures;
  - d. Serious legal violation(s); or
  - e. Any other condition that jeopardizes client, student, staff, or trainee welfare.

Following the delivery of the written document outlining the disciplinary action to be taken to correct problematic behaviors or skill deficiencies, the Training Committee and the resident’s supervisors will meet with the resident to discuss the action. The resident may accept the disciplinary action, or may challenge the disciplinary action through the grievance procedure described below. Pending the decision by the President of the Board of Directors, the trainee remains subject to the disciplinary action imposed by the Director of Training.

## Due Process for Resident Initiated Grievances



If a resident experiences a problem with a training site supervisor, Consortium Director of Training, or Consortium Training Committee member, or if a trainee has a personal complaint about the program (including but not limited to complaints about evaluations, supervision, stipends/salary, harassment, etc.) then the resident shall proceed with the following steps for resolution

1. Attempt to address and resolve the problem directly with the individual as soon as possible.
2. If addressing the problem directly is not successful, the individual is unavailable, or the resident prefers not to address the issue with the individual, then he or she may consult with the Consortium Director of Training. The Consortium Director of Training will assist by taking 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 resident and the individual;
  - c. Taking the issue to the Consortium Training Committee for consultation and problem solving;
  - d. Consulting with the President of the Board of Directors of the Consortium; or
  - e. Requesting assistance from APPIC.
3. The resident will provide a letter to the Consortium Director of Training within ten working days of the later of (a) the date of the event giving rise to the complaint or (b) the date the problem was raised with the Consortium Director of

Training. The resident's letter will document the nature of the grievance and what attempts may already have been made to resolve the issue.

4. Within ten working days after receipt of the letter from the resident, the Consortium Director of Training will send a letter to the resident outlining the grievance procedure. The letter will include provisions for the resident to hear all material facts and to appear before a Review Panel, and it will provide a reasonable timeline for the Consortium Training Committee to respond to the grievance.
5. The Director of Training will convene a Review Panel of at least three persons, consisting of site supervisors and Consortium Training Committee members. Any persons directly involved in the grievance will be recused from the Review Panel.
6. The Review Panel will conduct a review hearing at which the resident's grievance is heard and the evidence presented. The resident may attend the hearing and respond to any concerns raised. Within ten working days of the completion of the review hearing, the Review Panel will issue a report documenting its findings and recommended response to the grievance.
7. The Consortium's Director of Training will provide the Review Panel's report to the President of the Consortium's Board of Directors. Within ten working days of receipt of the Review Panel's report, the President will issue a final decision regarding the grievance, which may include any of the following:
  - a. accepting the Review Panel's recommendation;
  - b. rejecting the Review Panel's recommendation and providing an alternative; or
  - c. remanding the matter back to the Review Panel for further deliberation.
8. If the grievance involves the Director of Training, or the President of the Consortium Board of Directors, then the Consortium Training Committee will appoint other members of the Consortium Board of Directors, to convene and direct the Review Panel. The Consortium Training Committee would make the final decision if the grievance involves the President of the Consortium's Board of Directors.
9. Once the President of the Consortium Board of Directors issues a final decision, the resident, the training site, and other appropriate individuals will be informed promptly and in writing of the action taken.

## APPENDIX A

### Initial Consultation Site Visit Procedure

Prior to the acceptance of any training program as an affiliated training site, a formal site visit needs to be completed by two Consortium Board Members.

1. Once assigned as site visitor, call the potential site supervisor to schedule a date and time for a formal site visit, which needs to be completed by two Consortium Board Members. Allow at least 2 hours. Postdoctoral residencies can be approved throughout the year.
2. Site visitors should be given a copy of the initial *Training Site Application* when assigned to conduct the site visit. Please review the site application prior to the site visit to ensure the site meets all APPIC requirements, and to see what questions may be needed to clarify any of the application contents.

All site visits should include:

- a. Meeting with at least the primary site supervisor, and ideally all supervisors when possible
  - b. Review the site's application and follow up on any areas as needed
  - c. Obtaining any copies of supervisors' licenses for our records if not already obtained (site visitor should use Form A to attach with licenses if all are not already included with initial site application).
  - d. Review the training sites' possible didactic activities
  - e. A tour of the site
3. At the end of the site visit, inform potential site supervisors that their application and the site visit report will be reviewed and voted on at AZPTC's upcoming meeting. They will be notified in writing within 2 weeks whether their site has been approved for affiliation.
  4. The two Board members who conducted the site visit need to write a detailed summary of their findings. Please refer to the template in Appendix B for a sample outline.
  5. Email the Initial Site Visit Report to all AZPTC Board Members for review prior to the upcoming Board Meeting.
  6. The Training Committee will follow up on the next steps of this process.

## APPENDIX B

### Initial Site Visit Report SAMPLE TEMPLATE

**Site:**

**Site Visitors:** (Two needed for initial site visit)

**Date:**

**Background:** (Example) Dr. Lahann and Dr. Merrin met with Dr. X and Dr. Y and their current AZPTC resident on October 24, 2017 for a 2-hour initial on-site visit.

**Interview with Supervisors:**

Application was reviewed (you will have obtained and reviewed the initial site application ahead of time, and this should accompany this write up so that you don't need to summarize all of it. State if all requirements are met, and if any are not, please indicate and explain.)

Confirm that trainees will be paid a stipend on a fixed schedule and not by the case or the client.

Answer any questions or collect questions to pass on to others for clarification.

Summary of the training opportunities (diversity, patient population, direct hours, current caseload, etc.) Hopes for future training and any additional questions or concerns that were obtained during the visit. See if supervisors might want to present at a didactic in the future and on what topic. Get any feedback about from them about the Consortium thus far, etc.

Get copies of updated licenses if the current ones were not already obtained or if any new supervisors have been added. Use Form A to document and submit with copies of license(s).

**Summary:**

All of the residency requirements were reviewed and confirmed during this visit and based on the information provided, this training site appears to meet APPIC requirements, and is recommended as a training site within the Consortium. (Or share if there are concerns, need for follow up, etc.)

Important: be sure to submit this write up along with the completed application, and Form A with any copies of supervisors' licenses if needed.

Respectfully submitted,

Rebecca Lahann. Psy.D.  
President  
Arizona Psychology Training Consortium

Lisa Merrin, Ph.D.  
Vice President  
Arizona Psychology Training Consortium



## APPENDIX C

### Annual Site Visit Report SAMPLE TEMPLATE

**Site:**

**Site Visitor(s):** (only one required for annual visit)

**Date:**

**Background:** (Example) Dr. Lahann met with Dr. X and Dr. Y and their current AZPTC resident on October 24, 2017 for a 2-hour on-site annual visit.

#### **Interview with Supervisors:**

Checklist was reviewed (you will have sent and hopefully received back and reviewed the checklist ahead of time, and the checklist(s) needs to accompany this write up so that you don't need to summarize all of it. State if all requirements are met, and if any are not, please indicate and explain.

Confirm that residents are and will continue to be paid a stipend on a fixed schedule and not by the case or the client.

Discussion of current trainees and the site's operations. Confirm that supervision is taking place consistently and that logs are being kept. Answer any questions or collect questions to pass on to others for clarification.

Summary of the training opportunities (diversity, patient population, direct hours, current caseload, etc.) Hopes for future training and any additional questions or concerns that were obtained during the visit. See if supervisors might want to present at a didactic in the future and on what topic. Get any feedback about from them about the Consortium, etc.

Get copies of updated licenses if the current ones are not on file or if any new supervisors have been added. Use Form A to document and submit with copies of license(s).

#### **Interview with Trainee(s):**

Schedule a separate meeting with the current resident(s) to check in and ask about their experience, whether their needs are being met, how their experience with the consortium has been, etc. Summarize and bring any essential information back to the Board and/or the Training Committee as well if follow up is required.

#### **Summary:**

All the residency requirements were reviewed and confirmed during this visit and based on the information provided, this training site continues to meet APPIC requirements, and is recommended as a continued site within the Consortium. (Or share if there are concerns, need for follow up, etc.)

Important: be sure to submit this write up along with the completed checklist(s), and Form A with any new copies of licenses if needed.

## APPENDIX D

### Postdoctoral Site Renewal Checklist

This form has been developed to simplify the APPIC membership renewal process. AZPTC meets with each of its sites yearly to ensure that each site within the Consortium is continuing to meet the standard required by APPIC. In order to gather needed information, and to leave as much time for open conversation at the site visit as possible, we are asking each site to complete and submit this form in advance of the visit.

If there are no major changes to your program, please submit the following **by email** to AZPTC at consortium@azpa.org.

- This "AZPTC Postdoctoral Site Renewal Checklist"
- Table A (question 3a)
- Documentation of your didactic activities if you provide any (7a) (actual schedule with dates/topics)
- A copy of any current brochure about your site(11c)

If there have been major changes to your site please outline in your materials. As noted, it is important for you to provide detailed information to AZPTC at any time a major change occurs between review cycles.

**Please answer the following question:**

**If you indicate there has been a change (checking any response marked with a No\* or Yes\*) to any criteria, please describe the changes and revisions on attached pages. Please submit one (1) copy of all requested materials by email including a current brochure.**

Yes  No\*  1. Does your program continue to offer postdoctoral residents a planned, programmed sequence of training experiences?

Yes  No\*  1a. Does your program continue to maintain the primary focus and purpose of assuring breadth and depth of postdoctoral resident training? Please describe placements and training opportunities reflecting this breadth and depth:

Yes  No\*  2. Does your program have a clearly designated doctoral staff psychologist who is responsible for the integrity and quality of the postdoctoral resident training program?

2a. If yes, provide the name of the designated psychologist:

---

Yes  No\*  2b. Is this psychologist licensed?

Yes  No\*  2c. Is this psychologist a full-time employee of the organization?

\_\_\_\_\_ 3. Provide the number of doctoral level psychologists who serve as supervisors who are actively licensed. Membership requirements: at least two full time equivalent doctoral level psychologists who serve as supervisors and who are actively licensed. It is expected that postdoctoral residents receive supervision during the year from at least two different supervisors.

Yes  No\*  3a. Have you filled out and enclosed Table A that provides you the opportunity to accurately describe your training staff? Please include only licensed psychology staff.

Yes  No\*  3b. Have you attached a copy of the license for each supervisor who is new since your last review?

Yes  No\*  4. Do postdoctoral resident supervisors carry the clinical responsibility for the cases being supervised?

Yes  No\*  4a. Does each postdoctoral resident receive regularly scheduled individual supervision by one or more doctoral level licensed psychologists at a ratio of no less than one hour of supervision for every 20 internship hours (i.e., 2 hours for full time 40 hours/week or 1 hour for half-time 20 hours/week)?

Yes  No\*  4b. Is the focus of each postdoctoral resident's supervision the psychological services rendered by the resident?

Yes  No\*  5. Does your postdoctoral resident continue to provide a range of psychological assessment activities? Please describe these training opportunities or placements:

Description:

Yes  No\*  5a. Does your postdoctoral residency continue to provide a range of psychological intervention activities? Please describe these training opportunities or placements:

Yes  No\*  6. Is at least 25% of each postdoctoral resident's time in face-to-face psychological services to patients/clients?

Yes  No\*  7. Does the postdoctoral residency provide any didactic activities such as conferences, seminars, in service training or grand rounds? Didactic activities refer to actual training opportunities and should go beyond Case Presentations.

Yes  No\*  7a. Have you enclosed a description for scheduled didactic seminars and other training activities?

Yes  No\*  8. Is the postdoctoral residency training at the post-intern, post-clerkship, post-practicum and post-externship level?

9. What is the title of your postdoctoral resident trainees?

Yes  No\*  10. Does your postdoctoral residency have a written statement or brochure that provides a clear description of your, including the goals and content of the training program?

Yes  No\*  11a. Does this brochure provide clear expectations for the quality and quantity of the resident's work?

Yes  No\*  11b. Is this brochure made available to prospective postdoctoral residents?

Yes  No\*  11c. Have you enclosed a copy of your brochure described above?

11d. If your brochure is on-line or if you have additional material descriptive of your postdoctoral residency, provide the URL.

Brochure URL:

Other URL: \_\_\_\_\_

Yes  No\*  12. Is the postdoctoral residency completed in no less than 9 months and no more than 24 months?

Yes  No\*  13. Does your program issue a certificate of internship completion that includes the word "Psychology" to all postdoctoral residents who successfully complete the residency?

Yes  No\*  14. Does your program the minimum AZPTC \$30,000 stipend for each postdoctoral resident?  
Current Stipend:

Yes  No\*  15. Does your program avoid fee splitting arrangements for postdoctoral residents where they are expected to generate all or part of their stipend through clinical billing?

Yes  No\*  16. Does your program avoid any financial incentives for postdoctoral residents beyond the stated, set stipend?

How many hours do your postdoctoral residents complete?

Additional Comments:

## APPENDIX E

### Arizona Psychology Training Consortium Supervisor Information Form

To be completed as part of the annual site visit process. Please complete for each licensed psychologist giving supervision at your site. Use additional copies if needed.

Supervisor's Name:  
Arizona License Number:  
Year First Licensed:  
Number of Hours Per Week Supervision is Given:

Supervisor's Name:  
Arizona License Number:  
Year First Licensed:  
Number of Hours Per Week Supervision is Given:

Supervisor's Name:  
Arizona License Number:  
Year First Licensed:  
Number of Hours Per Week Supervision is Given:

## APPENDIX F

### Didactic Training Agreement Form Consortium Guests

As a Consortium Guest for didactic training, I consent / agree to the following:

1. I certify that I am either a pre-doctoral intern or post-doctoral resident in training at a training site that is NOT affiliated with the Arizona Psychology Training Consortium.
2. My involvement with the Arizona Psychology Training Consortium relates only to participating in didactic training. I understand that I will receive no certification or endorsement as completion of training through the Arizona Psychology Training Consortium.
3. I agree to uphold the ethical guidelines and principles of the professional practice of psychology while attending as a guest of the Consortium. I understand that if my actions are unprofessional or unethical as a guest of the Consortium, my participation as a Consortium guest will be revoked with no refund.
4. I understand that my didactic training fee is non-refundable.

\_\_\_\_\_  
Printed Name of Consortium Guest

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature of Consortium Guest

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature of Director of Training

\_\_\_\_\_  
Date

## APPENDIX G

### Consumer Representative to the Consortium Board of Directors

#### Position Description

One seat on the Arizona Psychology Training Consortium's Board of Directors is reserved for a Consumer Representative.

**Eligibility:** The Consumer Representative shall be chosen from among current residents whose training sites are affiliates of the Consortium.

**Term:** This is a one-year term, beginning with the election of the representative and concluding at the end of the Board's next annual meeting.

**Election:** The Consumer Representative shall be elected by a majority of the current residents. Candidates may be nominated by their peers, and self-nominations are permitted.

**Duties:** The Board of Directors is a policy-level body. The Consumer Representative is expected to give voice to the interests and concerns of the Consortium's supervisees, as well as to participate in discussions and actions regarding the operation, health, and future of the Consortium.

Attendance at Board of Directors meetings is expected. These meetings are scheduled at least quarterly, due notice being provided by the Board's President or its Secretary.