



EDUCATION

Doctor of Psychology - PsyD	University of St Thomas, Minneapolis, MN	12-16-2006
MA in Counseling Psychology	University of St Thomas, St Paul, MN	07-20-1990
Bachelor of Arts in Theology	College of St Thomas, St Paul, MN	12-19-1984

PROFESSIONAL EXPERIENCE

Private Practice Therapist/Consultant	Swarthout & Associates, LLC	12-95 to present
Individual, family & group psychotherapy, psychological assessments & testing, clinical supervision & case consultation		

Manager Emergency Behavioral Medicine	North Memorial & Maple Grove Hospitals	12-95 to present
Coordinate & supervise a staff of 16 psychologists & clinical social workers who conduct psychological evaluations in the Emergency Department of a Level I Trauma Center and consult with MD's about hospitalized medical patients.		

Adjunct Assistant Professor	St Mary's University of MN, Minneapolis Campus	10-12 to present
Teach graduate level coursework in the Master of Arts Program in Counseling & Psychological Services.		

Assistant Professor	University of MN Medical School - Twin Cities	03-07 to 06-09
Taught undergraduate courses on Psychology of Grief & Death and Funeral Service Counseling.		

Behavioral Medicine Intern	Aurora Behavioral Health Services, Wauwatosa, WI	07-04 to 07-05
Chosen by APA approved internship program to serve as psychological member of inpatient consultation liaison psychiatry service, bariatric surgery clinic, epilepsy clinic psychological & neuropsychological assessments and DBT-oriented outpatient eating disorder services.		

Community Health Specialist	Hennepin County Red Door Clinic	04-88 to 07-96
Counseled individuals & couples diagnosed with HIV/AIDS, people who experienced sexual trauma or diagnosed with an STD.		

Aftercare Counselor	St Mary's Hospital (Fairview University), Minneapolis	12-84 to 9-87
Provided counseling to individuals, families and couples after discharge from chemical dependency treatment		

INTERNSHIPS

Pre-Doctoral Intern	Aurora Behavioral Health Services, Wauwatosa, WI	07-04 to 07-05
Doctoral Practicum	MN Department of Corrections – Red Wing Juvenile Correctional Facility	12-00 to 07-01
Psychology Intern	Community University Health Care Center, Minneapolis	09-89 to 05-90

CREDENTIALS

Minnesota LICSW #11790	Licensed Independent Clinical Social Worker	Expires 01-31-2015
Wisconsin LCSW #1716-123	Licensed Clinical Social Worker	Expires 02-28-2015

AREAS OF SPECIALIZATION

My practice focuses on individual, family or group psychotherapy in three primary areas: struggling adolescents & young adults, grief & loss, and behavioral medicine (pain management, managing chronic or terminal illness, substance abuse, dementia, etc.). My clinical research, publication and teaching include grief & loss, critical incident stress, behavioral psychology and the spectrum of sexual health - medical dysfunction, couples therapy, abuse, assault, harassment and orientation. Psychological and neuropsychological testing is a secondary focus of the practice.

Initials _____



INFORMED CONSENT

Section I - Introduction: Psychotherapy is a process in which a therapist and one or more people work together to build a healthy professional relationship. For some clients, Dr. Swarthout acts as a sounding board, a guide, a confidant, or as an objective bystander whose purpose is to help identify difficulties in relationships or cope with struggles in life. Ideally, people enter into therapy to work on a specific goal(s). Sometimes, those goals shift over time, but the process of psychotherapy almost always involves working toward a particular objective.

- Dr. Swarthout reserves the right to refer a client with moderate - severe symptoms to a psychiatric provider for a medication evaluation as a condition of therapy and this agreement.
- There are specific rules/expectations that need to be explained and understood (per MN Statutes) before proceeding with this session regarding credentials, confidentiality, fees, insurance, appointments, emergency situations and possible risks/benefits involved with forging a therapeutic relationship. Please refer to the attached "Patient's Mental Health Rights" which further elaborates upon your rights in seeking mental health services.

Section II - Credentials: Dr. Swarthout completed a Doctorate in Psychology and Master's degree in Counseling Psychology at the University of St Thomas. The Wisconsin Department of Licensing granted Licensed Clinical Social Worker status in 1993. The Minnesota Board of Social Work granted status as a Licensed Independent Clinical Social Worker in 1995. Dr. Swarthout has worked as a therapist in a variety of settings since 1985 and is considered a "general practitioner" using a cognitive behavioral approach from the perspective of behavioral existentialism. Much of his clinical practice focuses on grief & loss, behavioral medicine (pain management, dealing with chronic illness, substance abuse and sexual health), teenagers in crisis, and couples who are preparing for divorce. His primary areas of expertise evolved from extensive clinical practice, advanced training and clinical research/writing. These areas include: grief and loss, critical incident stress, behavioral psychology and the full range of sexual health struggles.

Section III - Confidentiality: What is discussed in a psychotherapy session is considered private, and the oral/written content of sessions is protected by law, with the following distinct exceptions mandated by MN Statutes:

- If you discuss an intention or plan to harm or kill yourself, steps must be taken to protect you, which may include contacting your emergency contact person, the police, and/or 911.
- If you are pregnant and admit to using alcohol or controlled substances for non-medical purposes or admit to abusing alcohol, therapists are required to report that information to Hennepin County Project Child or other agency based on county of residence
- If you discuss an intention or plan to harm or kill a specific person, therapists must take steps to warn or protect that other person and/or the authorities, including the need to call 911 .
- If you disclose that you have physically or sexually abused a child or vulnerable adult, therapists are mandated to report that information to the appropriate county child or adult protection authorities.
- If you are a licensed health care provider and discuss sexual misconduct with a client or report other unethical behavior, therapists are required by law to report that information to your respective licensing board.
- If your clinical records are court ordered, a therapist may be required to comply with a court order to release your records

In an effort to provide the highest quality care, Dr. Swarthout regularly seeks clinical consultation about his work with another licensed mental health professional. In the context of that confidential & professional relationship, any/all personally identifiable information about clients is protected during those consultations. Each individual who consults with or who work for Swarthout & Associates, LLC has signed business associate contracts and/or agreements that are compliant with HIPAA & MN Statutes to protect each client's rights to privacy. Otherwise, no information can ever leave this office without your express written permission.

Section IV - Limitations Regarding Contact: Clients are always permitted to limit releases of information in whatever ways they choose. Under certain circumstances can use alternate addresses for billing and insurance to protect your privacy.

May we contact you about making/rescheduling an appointment:

At your home? YES _____ NO _____
 At your office? YES _____ NO _____
 Via your cell phone? YES _____ NO _____

May we leave messages on voice mail:

Home? YES _____ NO _____
 Office? YES _____ NO _____
 Cell? YES _____ NO _____

Special mailing or phone instructions? _____

Section V - Insurance: Dr Swarthout maintains preferred provider relationships with several insurance companies including Blue Cross/Blue Shield, Medica, United Behavioral Health (UBH), United Healthcare, MHP, U-Care, MA and Preferred One. He is also an out-of-network provider with HealthPartners. If you choose to use your insurance benefits to pay for your psychotherapy sessions, your insurance company may be billed directly or you may pay from your HSA/FSA and submit invoices on your own. Due to high deductibles on many insurance policies, you will need to pay full price for services rendered until that deductible has been met. Payment or co-payment is always required at the time services are delivered. Assessments, psychological & neuro-psychological testing and some other services require payment at the time of service as some may not be covered by insurance. As a courtesy, Dr. Swarthout may submit billing to some insurance companies on your behalf, however, every patient is ultimately responsible for coordinating claims with their insurance company.

Initials _____

If you choose to use your insurance, you need to understand that::

- Dr. Swarthout will need to provide the insurance company with a clinical diagnosis
- May need to provide confidential information to the insurance company to justify services, depending on the insurance
- Cannot predict or control what the insurance company does with confidential information once it has been submitted.
- Clients are responsible for any and all fees not covered by insurance.

Do you choose to use your insurance to pay my fees? YES _____ NO _____
If no, how will you be paying for services? _____

Section VI - Fees/Sessions: Dr. Swarthout charges \$160 per 45 minute session and \$240 for 55-75 minutes.. The initial session usually lasts 75-100 minutes, and is billed accordingly from \$240 to \$320. Phone consultations with patient/parent/guardian > 10 minutes are billed on a prorated basis at \$50.00 per 15 minute increment and may not be covered by insurance. Sessions start at the time scheduled and end approximately 45 minutes later. If you arrive late, the session will still end at its appointed time. Co-payments are due at the time of the session and can be paid by check, cash, or credit card. No invoicing is available at this office. Any returned check will be assessed a \$25 service charge, plus any expenses incurred to collect the fee. Any unpaid balances on the account will be assessed a 1 ½ % monthly fee and accounts left unpaid over 90 days may be turned over to a collection agency, up to & including legal action to collect debts.

Section VII - Appointments: Sessions start at the scheduled time and end approximately 45 minutes later. If you arrive late, the session will end at the appointed time and you will be responsible for the full fee. If you intend to cancel an appointment, you must provide a minimum of 24 hour notice. If you have a scheduled appointment and do not cancel within 24 hour notice or do not show up, you will be responsible for the entire \$160.00 fee or for the planned duration of the session (planned 60-90 minute session = \$240). Insurance companies cannot be billed for missed appointments.

Section VIII - Privacy Policies: Swarthout & Associates, LLC has implemented all required HIPAA policies and procedures. Address questions or concerns to Dr. Swarthout - 1409 Willow St, Suite 100, Minneapolis, MN 55403, by phone 612-396-6949 or e-mail at david@drdavidswarthout.com.

Individually identifiable health information about clients can only be released with written consent, with the exceptions noted by MN statutes in Section III of this consent form. Written consents shall remain in force for a period of one year or at the completion of therapy, and may be revoked in writing at any time, but cannot be retroactively revoked. Releases that are received by mail, via fax machines will not be honored until the client can be contacted to verify what information they wish to be released and the identity of the party to receive said information. "Blanket releases" or releases that lack necessary elements will not be honored. The client will be contacted to inform them of our inability to process their request with the form utilized.

Each patient has a chart maintained in our offices that contain the following information:

- consent for treatment
- release of information to bill insurance company
- demographic information
- dates of service
- correspondence with insurance companies
- record of fees, charges and payments
- diagnostic information
- authorizations to release information
- log of information released
- summary of treatment or progress reports
- case notes from each individual session

While these are your records and we are legally bound to maintain them on your behalf, we reserve the right to not release case notes to patients or other healthcare professionals. When we are called upon to release records for any purpose, we prepare a summary of treatment and send that in lieu of the un-interpreted case notes or raw psychological testing data. When a summary is prepared on behalf of a client, the report is usually reviewed with the client before release. If a client waives the right to review records prior to release and the summary is later determined to contain inaccurate information, the client can request in writing that the record be revised. Corrections will be made in a timely manner and forwarded to the recipient with an explanation of the error. If the summary contains a discrepancy between our clinical impression and the client's perceptions, the client may write a letter to the recipient that explains the differing opinions.

Section IX - Security Policies: In an effort to maximally secure the protected health information of our clients, the following protections were enacted in November of 2002 to comply with the **Health Insurance Portability and Accountability Act of 1996 (HIPAA; Pub.L. 104-191, 110 Stat. 1936:)**

- Computers require a double password to enter, hibernate after 3 minutes and are shut down & secured at the end of each day.
- Client e-mails are printed, filed& erased. Do not send sensitive or personal data via e-mail as the security of e-mail services is questionable.
- Fax transmissions are sent via HIPAA compliant internet server. For details, visit http://www.myfax.com/collaterals/Datasheet_HIPAA.pdf
- Client information can only be transmitted via fax with the client's written permission, and then, only to a fax number that has been verified as a private fax line/service in a secure location.
- Swarthout & Associates LLC billing service is HIPAA compliant with Business Associate Agreements.
- Per MN Statutes & federal guidelines, all billing transactions/transmissions are processed electronically.

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Section X - Emergency: Dr. Swarthout operates a solo private practice and is generally accessible via cell phone (612) 396-6949. If you have a psychiatric emergency and cannot reach Dr. Swarthout within 60 minutes, please call the Hennepin County Crisis Center at 612-873-3161, report to the nearest emergency room, or call 911. If Dr. Swarthout intends to be away from the office for an extended period, he will provide you with the number of an emergency contact therapist.

Risks/Benefits/Inconveniences: There are no guarantees about improvement from psychotherapy. Most people benefit from the process of talking about their problems or struggles with a therapist. For some people, building a therapeutic relationship based upon respect, with healthy boundaries, makes it easier to re-create that process in their daily lives. However, symptoms do sometimes worsen during therapy but tend to lessen as therapy progresses. Some people may need to temporarily use psychotropic medications and others may even need to go on medications for an extended length of time, but that is often unpredictable in therapy. It is common for sadness or depressed feelings to get worse before they get better.

My signature below signifies that I have had the information above explained to me in enough detail that I understand and agree to the terms of this agreement.

X

Client

Date

Client

Date

Witness – David Swarthout

Date

Initials _____