London Borough of Waltham Forest

Supervision policy
&
resource toolkit

Effective supervision in CSC & ASC

2022-24

policy

Templates

RESOURCE TOOLKIT

Contents

Policy statement

Effective supervision ensures that;

- staff members feel supported in the demands of their role
- staff performance is managed effectively

Supervision also ensures that there is a line of accountability between the service user, the employee and the organisation. It helps to make sure we are fulfilling our statutory duties and responsibilities, particularly relating to safeguarding issues; providing a high quality service to children, adults and their families.

The supervision outcome chain

Better outcomes

Quality of supervision

Positive impact on services

Quality of practice

Linking supervision and social care practice: Good supervision should result in positive outcomes for people who use services as well as similar outcomes for the worker, the supervisor and the organisation as a whole. An example of a positive outcome would be an improvement in the quality of life for a person, while for the organisation a similar outcome would be an improvement in the quality of the service.

For supervision to add value, it is important that supervisors and supervisees are clear about their roles, responsibilities and accountabilities.

This document sets out the policy, procedures and good practice principles that must be followed by all managers/practice supervisors who are responsible for delivering supervision to staff and sits alongside a selection of templates, resources and relevant research which can be utilised by both the supervisor and the supervisee to construct an effective supervisory environment.

The following sections in this document are underpinned by a clear set of expectations linked to the refreshed Knowledge and Skills Statements and Professional Capabilities Framework and are applicable to;
- All staff across both Children and Adults social care who deliver outcomes, both indirectly and directly for service users.
- All staff members above whether temporary (including locum members of staff), those employed on a part-time of full-time basis and all levels of line management.

Quality of supervision → Quality of practice → Positive imact on practice → Better outcomes

Introduction

There are many reasons why effective supervision is essential for any organisation, particularly one whose purpose is to deliver services to the most vulnerable members of the community. Continual improvement of those services can only be achieved by recognising the value of each individual worker, whatever their role, being clear about the standards of practice required and by investing in their development. This is summaries via the 7 links:

The **7** links

Role clarity
Role security
Empathy
Assessment
Partnership
Planning
Coaching / mentoring
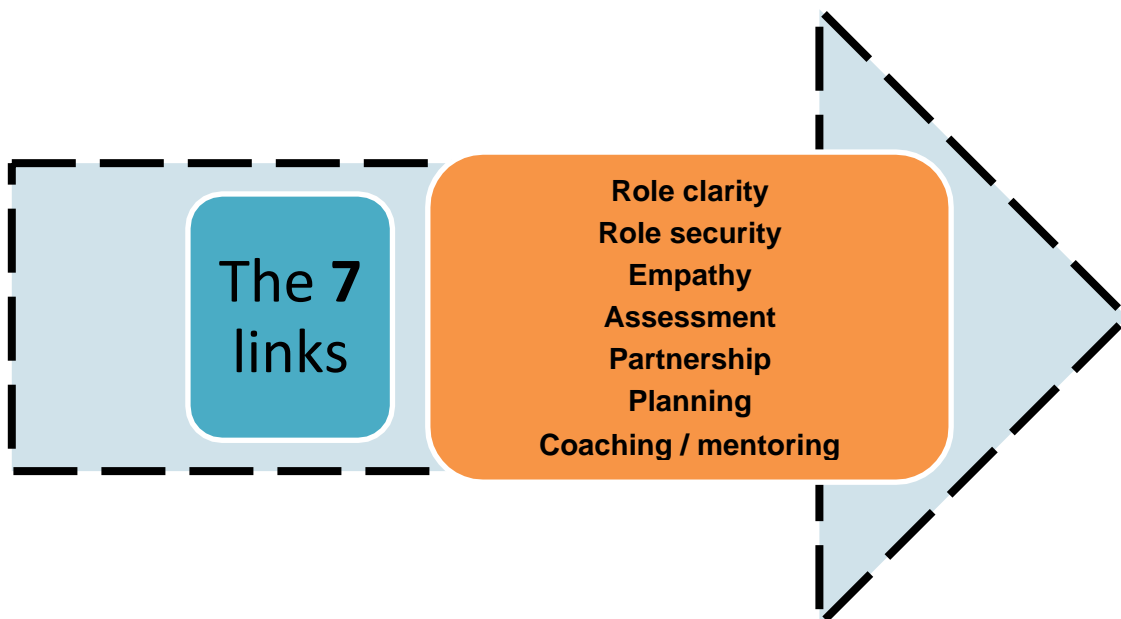
This policy is compatible with, and compliments Think Family 2020. That is;

'Knocking down the silos of our professional disciplines and building a new system from the ground up designed around the needs of families.'

A key principle of Think Family 2020 is to be absolutely clear about the offer we make to those children, adults and families who require our help and support. Subsequently, it is critical that staff members are also presented with a clear offer as a Waltham Forest employee; of which high quality, regular and reflective supervision represents a central tenant.

Definition of supervision

Supervision is a regular meeting between the designated supervisor (e.g. line manager) and supervisee in order to meet organisational, professional and personal objectives. Supervision forms a key part of individual performance management and critical reflection of practice.

Supervision provides a safe environment for critical reflection, challenge and professional support that operates alongside the appraisal process. It includes time for reflection on practice issues and helps the worker and their managers do their jobs more effectively.

Through reflection, supervision provides the opportunity for workers to think, explore and confront issues that are pertinent to their ability to perform their role to the expected standard. It is also a mutually beneficial exchange which allows managers and staff to explore what, why and how work is undertaken and managed within the overarching framework of council objectives, values and priorities - particularly working in the best interests of the child.

Supervision underpins the Induction programme (for newly appointed workers) and is the foundation on which Performance Appraisal is built.

Supervision enables workers to develop their capacity to use their experience to review practice, receive feedback on their performance, build emotional resilience and think reflectively about the relationships they have formed with children, adults and families.

Research has demonstrated that good supervision is associated with job satisfaction, commitment to the organisation, and retention (SCIE, 2015).

Methods of Supervision:

There is no other method of supervision that can replace planned, formal, recorded, one to one sessions. However, this policy recognises supervision as an on-going process that takes place in different settings and in different ways. Examples include;

The following clarifies various methods of supervision utilised in Waltham Forest:

- **Formal supervision:** A formal one-to-one meeting between a supervisee and supervisor to meet certain organisational, professional and personal objectives that promote the best outcomes for service users (Tony Morrison, 2005).

- **Informal/ad-hoc supervision:** Where management decisions are made 'ad-hoc', based on a discussion, email or phone call between a supervisee and supervisor, and actions and steps are set out to be taken verbally and/or in writing. These are captured by Children Social Care staff on MOSAIC as management oversight.

- **Management oversight:** Where a supervisor or manager reviews a case via discussion or by auditing case files and actions are noted on MOSAIC.

- **Group Supervision:** Supports thinking in relation to problem solving, peer group learning and giving and receiving strong feedback within a supportive setting. However, this cannot be used as an alternative to one-to-one supervision and should only compliment this process.

If a supervisor is absent from work for a long period (over one month) the supervisor's line manager must ensure that effective arrangements are in place for the supervision of staff in that particular area.

Location and Frequency of supervision

Formal supervision sessions should take place somewhere;

- Quiet and comfortable
- Away from the frontline working environment
- That offers privacy for the duration of the session

The actual frequency of supervision should be clearly set out in the **supervision agreement** when negotiating the terms of individual supervision between supervisor and supervisee. An example Supervision Agreement template is located in appendix 1. However, the minimum level of frequency expected is set out as below; however within Children Social Care, whilst the worker is spoken to as set out below, this does not mean however every child or family will be discussed in each supervision session and this is set out in more detail on page 11.

Staff Member	Frequency
Residential care/support workers	Weekly
Care Support Workers and Reablement Officers	Monthly
Social Care Assistants	Monthly
Leaving Care Coach's	Monthly
Newly qualified social workers [NQSW]	Weekly for first six weeks (these may be shorter sessions, but assessment of experience, competence and development needs must be addressed until supervisee and supervisor are confident the ongoing professional development of NQSW progressing well). Frequency to be no less than fortnightly for the first three months and three weekly after the first three months
Social workers and Senior social workers (two year's PQ) including experienced social workers	Minimum of four weekly depending on need and complexity of work
Registered Managers	Monthly/6 - 8 weeks, depending on experience and complexity of issues raised
Managers (team and deputy team managers)	Four weekly depending on service area, experience within the Department, and level of responsibility
Senior managers	Four weekly depending on service area, experience within the Department, and level of responsibility
Support staff	Minimum of four weekly depending on service area, experience within the Department, and level of responsibility
Other specialist staff including independent reviewing officers	Minimum of four weekly depending on service area, experience within the Department, and level of responsibility
Social work students	As per each individual universities' requirements, however as a guide this is usually weekly or fortnightly

Occupational Therapists and Virtual School teaching staff	Monthly

The frequency of supervision negotiated in a supervision agreement (which should be reviewed periodically) should also reflect the following considerations:

- The supervisee's level of experience and competence (not necessarily length of service). For example; new starters, those supervisees in the probationary period may require more frequent supervision.

- Other factors which may encourage supervision to be undertaken at a greater frequency. Examples include a difficult piece of work and associated levels of risk, personal difficulties or relationships, performance issues or levels of stress.

- All supervision sessions should be diarised annually in advance as part of the induction process. Sessions are not subject to cancellation and are only postponed in exceptional and unforeseen circumstances, with the agreement of both parties. Any postponed session must be reconvened within 5 working days.

- All cases must be reviewed in supervision at a minimum interval of once every three months. Some cases will require more frequent discussion, and the expectations in Children Social Care are set out on page 11 in line with the families assessed risk levels

Individual Supervision Agreements

The process of developing an Individual Supervision Agreement is as important as the written document itself. (Please see Appendices).

This process should commence at the first supervision session, though it may not necessarily be completed in one session.

The purpose of the Individual Supervision Agreement is to establish a basis for which the supervisor and supervisee will work together during one-to-one supervisions. Some 'ground rules' should be established through negotiation and these should clarify the rights and expectations on both sides to create a safe, secure and effective supervisory setting.

It is worth noting that if a supervision relationship breaks down or is less than satisfactory for either party, it is usually because of a lack of clarity or a disparity between expectations from the outset.

When establishing the Individual Supervision Agreement, the following should be discussed:

- The purpose and frequency of supervision. (Please see page 5).
- The venue for the supervision sessions (note: this should always be in a private room where others cannot easily overhear).
- Any specific responsibilities of both supervisor and supervisee.
- The complaints and review process.
- The practical arrangements (e.g. the process if supervision has to be cancelled / rearranged, an agreement that supervision will be uninterrupted, the anticipated length of time for each session).
- The arrangements for agenda setting (e.g. both parties to submit agendas before the session, at the start of the session etc.)

Each Individual Supervision Agreement will be different and should be regarded as a 'living' document that is amended according to the changing needs of the supervisee. An example of this may be where the frequency of supervision has been agreed and this subsequently changes as the member of staff gains confidence in their role. As a minimum, it should be reviewed annually. Supervisors and supervisees should agree whether additional matters should be included in the Individual Supervision Agreement to meet their particular needs.

Role and purpose of supervision

First and foremost, supervision needs to enable and support workers to deliver the best possible services for people who use services. In this context, effective supervision will:

- Be built on respect and trust
- Provide a regular space for workers to reflect on the content and process of their work
- Offer workers another perspective concerning their work and provide support and encouragement to develop personally and professionally
- Be a two-way process which is person-centred
- Provide clarity about their role, how it relates to other roles, systems, procedures and new developments
- Be carried out in an environment which is anti-oppressive
- Encourage sound, evidence-based practice
- Be proactive about staff well-being, recognise signs of stress and take preventative action
- Help in problem solving
- Have a proactive approach to any equality and diversity issues
- Be an essential performance management tool, ensuring targets are met and standards developed
- Model a person-centred approach which workers are expected to offer people who use services as well as carers
- Help achieve best practice so that people have maximum choice, control and power over the support and services they receive.

The four functions of supervision

Learning & Development

The L&D function will be achieved through;

• Guiding supervisees to identify their preferred learning style and any barriers to learning

• Assessing development needs and identifying learning opportunities

• Providing constructive feedback on performance

• Encouraging the supervisee to reflect on learning opportunities undertaken and applying that learning to direct work

• Enabling and empowering expression of feelings in rtelation to the work role and using practice wisdom, theory and research as a filter for the emotional response evoked

Support

By offering support within the supervision context, supervisees should be given the opportunity to reflect on the impact of the work upon them and prevent issues adversely affecting them and their work. This will be achieved through:

• Creating a safe environment within supervision where trust and privacy are maintained

• Clarifying the boundaries between support and counselling

• Monitoring the health of the supervisee and referring to occupational health or counselling when appropriate.

Management

Supervision discussion should include;

• Quality of the supervisee's performance and work output/outcomes

• Policies and procedures relating to their work and that these are understood and followed

• Role and responsibilities of the supervisee and that these are clearly understood, including the boundaries and limits of their role

• Development and monitoring of action plans/targets and objectives

• Workload monitoring

Negotiation

The negotiating function ensures an effective relationship between the supervisee, their team, the organisations and other agencies with whom they work. This will be achieved through:

• Briefing senior managers about key issues

• Dealing sensitively but clearly with concerns and complaints about colleagues and others with whom they work

• Consulting and briefing staff on changes and developments that affect their area of work

• Advocating between worker or team and other parts of the agency or with outside agencies

Areas of supervision

The following sets out the areas that fall under each component of supervision.

Decision-making and reflection

This aspect of supervision focuses discussions around each child, adult or family the supervisee is allocated. It includes reflection on what work has been done, plans for future interventions and actions, and discussions on improvements in practice.

There should be a focus on protecting the public and delivering effective services, with time spent reflecting on the relationships that have been formed with children, adults, families and other professionals.

Exploring barriers to effective working on particular cases, including levels of stress experienced by the social worker, should be identified and addressed.

Workload management

This aspect of formal supervision sessions must include an analysis of the current caseload or workload including any new or developing risk factors and how this is being managed by the worker.

Discussions should address the time available to work directly with children, adults and families as well as meeting other demands within the service.

Professional development

Each formal supervision session must consider the supervisee's level of practice, training needs, career goals and should monitor and promote continuing professional development.

For social workers and occupational therapists it must also ensure the supervisee is maintaining social work/occupational therapist's registration HCPC requirements. This could include career development advice and time to explore professional development opportunities such as further qualifications.

Adult social care organisations registered with the Care Quality Commission (CQC) are expected to meet the Care Certificate standards as the minimum in the induction of and provision of mandatory training for new workers.

All social workers are expected to demonstrate their ability to meet the required standard of practice according to the varying levels set out in the respective relevant Professional Capability Framework and Knowledge and Skills Statements 2018.

For those members of staff wishing to complete their Assessment and Accreditation, they will need to ensure that they have completed the relevant Endorsement Record, which needs to be signed off by their line manager prior to being considered and approved at panel. Managers will be required to ensure that supervision identifies evidence for endorsement and areas for learning and development.

Line management and organisational accountability

Formal supervision needs to focus upon organisational accountability between the employer and the employee. This aspect of supervision is essential for all staff in the organisation, to ensure they are following departmental policies and statutory guidance within their practice.

The Supervisory Process

- The best Supervision is achieved when both supervisor and supervisee have planned for the session and where each respects the position of the other.

- It is important that each person feels able to contribute to the drawing up of an agenda against a framework which identifies the three strands of supervision i.e. Line management, Case management & CPD.

- The process of the supervision is a joint responsibility and both parties will need to consider how this is to be managed. If supervision is to be effective, time will need to be given to deciding how shared responsibility may be achieved and a formal written agreement may assist.

- Supervision is based on a set of skills which include the giving and receiving of feedback, recording, application of the principle of equality and diversity to practice and an understand of evidence informed practice, among others.

- Supervision is integral with appraisal. Employees who receive regular quality supervision will experience appraisal as a logical culmination and formalising of a process rather than one of a series of unconnected events.

Recording supervision sessions

Supervision folder

A formal, electronic record of supervision must be kept by the supervisor for each supervisee on a shared drive with appropriate level of restricted access.

General principles

The recording of formal supervision sessions is the responsibility of the supervisor.

All formal supervision records should be signed and dated by both parties and held on the individual's electronic supervision folder (an email confirmation is also sufficient in this instance).

Supervisors should aim to give a copy of the record to the supervisee for signature within 5 working days of the session.

The records of supervision are owned by London Borough of Waltham Forest and maybe subject to internal or external inspection and audit.

On leaving the council, supervision records are passed to the Human Resources (HR)

Department for placing on your personnel file, which is retained by the HR Department.

Minutes of case discussions

Case discussions in supervision must be recorded on the child's, adults or family's case file on Mosaic for an adequate trail of discussion and decision making to be evidenced on the file.

Within Children Social Care it is the expectation that these records should be recorded following the council's policy of Language That Cares and each family should be discussed with the following frequency:

The first supervision will be within 10 days and reflect the actions agreed at day 10 of the child and family assessment this supervision will be found in section 3 of the Child and Family Assessment and is action led to inform the process of assessment and information gathering within the Child and Family assessment, which in turn will inform future hypothesis and reflective discussions.

All children on CP plans, in a PLO process, court or newly looked after are to be discussed every 4 weeks.

Children on CIN plans are discussed every 8 weeks.

looked after children in long term matched homes are discussed at least every 6 weeks.

For care leavers 18-25 supervision to be every 12 weeks.

For all the above these timescales would be based on the supervisor's assessment of risk and should be more frequent if needed.

For Children who move between Services the expectation is that their will be a management oversite at the time of case transfer and supervision will fall in line with the above schedule their after.

Case discussions in supervision must not be recorded on the individual supervisee's electronic supervision folder.

A record of the child's or adults Mosaic ID number must be recorded as part of the general supervision minutes; however specific actions agreed must be recorded on the child's or adult's case file.

As a minimum requirement, recordings of case supervision should be uploaded on each child's, adult or family's case file at least once every three months.

Supervision records on case discussions must evidence **why** a decision has been made. It is important that all case decision-making is **evidenced by reasoning** and management oversight on the case is made explicit.

Minutes – general discussions

Supervision records must be recorded using the template provided in the supervision resource toolkit. (Please see Appendix 1).

All supervision records must give sufficient detail of the discussion to reflect the content of the meeting, identify actions as agreed, timescales and record any disagreements and concerns raised.

All matters discussed in supervision should be recorded. The only exception is where a supervisee wishes to discuss a personal matter and this should be recorded separately to the supervision record.

Informal supervision

Informal supervision based on a discussion, phone call or email where decisions or actions are agreed should be written up and recorded by the supervisor in writing on the child's, adult's or family's case file on Mosaic. This should be recorded as a management decision using the management decision heading on case notes and this includes senior managers giving case advice or direction.

The Adult Safeguarding Manager, CP Chairs and IROs should record discussions, phone calls or emails on Mosaic using the appropriate CP Chair/IRO case note.

Management oversight

Key management oversight on case files should take place on a monthly basis as a minimum requirement, for example, **any plans** and **decisions** made and **resources** allocated. This should be evidenced on case files in the form of case notes on each child's, adult's or family's case file using the management decision heading on case notes.

Where a situation has been brought to the attention of the line manager via the escalation process this should also be uploaded onto Mosaic.

Addressing equalities and diversity in supervision

Addressing equalities and diversity must be an integral part of the supervisory relationship in terms of:

- the differences between the supervisor and the supervisee and the impact of this on the supervisory relationship

- the supervisee's practice and service delivery to children and families and or engagement with service users, partners and stakeholders

- The supervisors having a responsibility to monitor the work of their supervisee to ensure all practice is compatible with the London Borough of Waltham Forest's Equality and Diversity Policy.

- The supervision promoting anti-discriminatory practice in line with the Equality Act 2010.

Confidentiality

Confidential information is:

- Personal information of a private or sensitive nature

- Information that is not already lawfully in the public domain or readily available from another public source

- Information that has been shared in circumstances where the person giving the information could reasonably expect that it would not be shared with others.

During supervision, the supervisee may disclose information about themselves or their colleagues that is of a private or sensitive nature. The supervisor has a duty to respect the privacy of the supervisee, but may wish to discuss some of the issues raised with another person, with HR or with another agency.

Managers should ensure that practitioners are aware of their responsibilities regarding confidential information and that they are sharing information effectively, ethically and securely in compliance with Waltham Forest council policies and procedures, London Child Protection Procedures and Pan London Adult Safeguarding Policies and Procedures.

Quality Assurance in supervision

The standard of assessment, care plans and reports **must be checked** before they are finalised either by the supervisor or someone who has been delegated this responsibility. The supervisor is accountable for ensuring the work of the practitioner is quality assured and meets the required standard.

Audits of Mosaic supervision notes and individual supervision folders will be undertaken by the department. Supervisors are required to share electronic supervision folders if requested to do so. If a staff member's supervision record is to be audited they will be informed of this by the auditor and/or their supervisor before the audit.

All supervision records are available to inspectors who may wish to review them as part of an inspection process.

The quality assurance process will ensure that:

- The standards of supervision outlined in this policy are embedded.
- Staff are being supervised professionally and effectively.
- Supervision sessions are being recorded.
- Individual supervision agreements are being developed, reviewed and used
- The supervision process promotes equal opportunities and anti-discriminatory practice.

Resolving supervision issues/disputes

Supervisees should be clear about who they should contact if they feel the terms of their supervision agreement are not being met. How supervisees make a complaint and to whom (named manager) should be detailed in the Individual Supervision Agreement.

Supervisees should always discuss any complaints or dissatisfaction in the first instance with their supervisor and endeavour to reach an agreement within the normal supervision process.

If the complaint cannot be resolved by discussion with the supervisor, the supervisee should raise the issue with their supervisor's line manager.

Where concerns about practice or capability arise in supervision, these may trigger HR processes. In these cases, London Borough of Waltham Forest's capability or disciplinary policy and procedures should be followed.

Where this is the case, the formal process should be progressed outside of the supervision process in line with the relevant policy and procedure.

In the event of any disagreements between the social worker and their line manager, then the conflict resolution process should be initiated. The social worker and their line manager can request to hold three-way supervision with the Head of Service. In certain circumstances the parties may request another senior manager from a different division to attend as facilitator.

Supervision Standards
General

1. Supervision takes place between a member of staff (supervisee) and their line-manager (or designated person). It is a one-to-one event.

2. Group supervision can also be used in addition to supervision to complement it, but it must not replace one-to-one supervision.

3. All managers should formally supervise all staff for which they are responsible or nominate someone suitable to perform this task on their behalf.

4. A Supervision Agreement should be drawn up jointly at the beginning of every supervisory relationship.

5. All social care staff in LBWF will receive regular supervision which will be underpinned by Think Family 2020 as well as children and adult's policy and legislative guidance/frameworks.

6. Supervision must not be; rushed, interrupted, one-sided, focused on the supervisor's needs, negative or demoralizing or unsupportive.

7. Frequency of supervision should be specified in the Supervision Agreement.

8. Supervision can be more frequent if either the supervisor or the supervisee feels this is necessary.

9. Supervision should be treated as a priority and should be planned for by both the supervisor and the supervisee.

Supervisor's responsibilities

1. To ensure the supervisee is supported effectively so that they understand their role and responsibilities and are able to exercise these to the best of their ability.

2. To be familiar with this Policy and to undertake supervision training in order to provide the supervisee with management, development, mediation and support.

3. To make supervision a priority and to be accessible to the supervisee to ensure that their cases are discussed, reflected upon, analysed and plans and action are agreed.

4. To ensure appropriate induction and training is planned, supported and monitored according to the supervisee's needs.

5. To quality assure the supervisee's work and to assess performance and give constructive feedback.

6. To address continuing poor performance issues and implement capability procedures if necessary.

7. To use performance management data to benchmark division/team performance against local and national standards.

8. To be open and honest at all times and to be clear that supervision is part of the accountability framework for social work practice.

9. To accept constructive criticism positively.

10. To monitor absence from work and explore any issues arising.

11. To respond appropriately to personal problems that may affect the supervisee's wellbeing and work performance.

12. To respond appropriately to any issues regarding equality of opportunity considerations for the supervisee.

What should supervisors know?

They must also have a good working knowledge of the principles, methods and techniques relating to organisational management, including HR and workforce development processes in their organisation. A good understanding of workforce development will include:

- Training and workforce development strategies
- Sector qualifications strategies and training targets
- Induction
- Continuing professional development
- Career pathways

Supervisors should also have a good knowledge of how:

- The principles of supervision can be used to inform performance management
- To support individuals through professional supervision
- Professional supervision supports performance.

Supervisee's responsibilities

1. To make supervision a priority and to prepare appropriately for it.

2. To ensure that requested actions are completed to the standard and timescale requested.

3. To demonstrate professionalism by showing commitment to the development of knowledge and expertise.

4. To use performance management data positively to monitor their own performance against Directorate and national standards.

5. To inform the supervisor of any issues arising within their team/area and seek guidance when necessary.

6. To accept constructive criticism positively and take the necessary action to improve performance.

7. To give the supervisor constructive feedback on their supervisory role.

8. To raise any issues around equality of opportunity experienced or observed.

Senior manager's responsibilities

1. To be familiar with the supervision policy and guidelines

2. To monitor and evaluate the standard of the supervisory process

3. To ensure that supervisors and supervisees are fulfilling their responsibilities and that the desired outcomes are being achieved.

Those managing supervisors need also to understand why social care places such emphasis on supervision, and be able to supervise others' supervisory practice. Skills in conflict management and self-reflective practice will also be needed.

Appendix 1 - Templates

Supervision File Coversheet

Name of supervisor ....

Name of supervisee ....

Name of team/project ....

Line manager ....

Job title of supervisee ....

Additional job details [i.e. Practice Educator, Assessor etc.]...............................

DBS…..

Social Work England/Care Certificate

....

Driving licence/MOT/insurance……………………………………………………………………………

Working days – times, hours ....

Agreed supervision contact times ....

Sessions per year ....

Contact number(s) for supervisee ....

Best times to contact..

Any other considerations?...

Next of Kin ....

Notes ....

....

....

Individual Supervision agreement

This supervision agreement is made between:

Name of supervisee	
Job title	
Name of supervisor	
Job title	
Date of agreement	**…./…./….**

This agreement is intended to support the provision of effective supervision by promoting a shared understanding between the supervisor and supervisee over key aspects of the supervision process. Supervisees must be involved in the discussion and negotiation of this document and must also be provided with a signed copy of the completed agreement.

A shared commitment

We will demonstrate a shared commitment to supervision by ensuring that;

- Supervision remains an ongoing priority.

- Sessions will be booked in advance and both parties will be punctual so that each session can start and finish on time.

- Preparation will occur beforehand and we will both contribute to the agenda.

Regularity of supervision

- We will meet at least..….…times a year, once every……….weeks for a session. This will only change in the event of annual leave, sickness or emergency situations.

- Formal supervision sessions will be for one and a half hours each.

- If there is a need to meet outside of our regular times for work related issues, this will be respected, explored and accounted for as an informal supervision.

- We will book the dates for supervision and appraisal in advance, confirming the next appointment at the end of each session and arranging to meet at a mutually convenient place and time.

- If the arrangement needs to be changed the onus is on the person who needs to make the change to notify the other, giving as much notice as possible.

- In the event that a scheduled supervision session has to be cancelled, it will be re-scheduled at the point of cancellation. The session will be re-scheduled to take place within 5 working days of the date of the original session.

- If the cause of the cancellation is the sickness absence of either party then another supervision session will be booked within 5 working days of the person's return to work. In the event that the supervisor is absent from work for more than four weeks unplanned

leave; it is the supervisee's responsibility to report to the supervisor's line manager for alternative supervision arrangements to be made.

Interruptions

To be kept to a minimum. These will occur in emergency situations only.

As your supervisor, I will arrange a private and confidential space for us to meet, ensuring you have my undivided attention for your supervision.

Recording of sessions

We agree to abide by the guidelines as laid down in the Families and Homes supervision policy document with regard to confidentiality and standards for note and record keeping.

The supervisor will take main responsibility for recording supervision discussions. A copy will be given to the supervisee to sign. The supervisee will take responsibility for photocopying to ensure they have a copy of the signed supervision notes/minutes for their record. Every effort will be made to ensure that supervision records are typed and where records need to be typed by someone other than the supervisor the supervisee will be informed of this.

All case discussions from supervision will be recorded directly onto the Mosaic on the child's, adult's or family's life.

Supervision records will be signed by both parties and a copy of the supervision record will

be provided to the supervisee within 5 working days of the session.

Content of supervision

- Case-work – decision-making and reflection
- Caseload – workload management
- Line management or organisational accountability
- Professional development

At the end of each session, we will agree any action points necessary. We will review the effectiveness of our sessions every 12 months.

Statement of service

The supervisor will endeavour to provide the following:

- consistency
- regular support
- availability
- professional experience
- sensitivity

Statement of responsibility

- The supervisor will maintain line management responsibility.
- The supervisee will follow plans as agreed during supervision sessions and work to meet timescales set.
- Both supervisor and supervisee will maintain a commitment to equal opportunities in relation to both services - users and staff.
- It is the responsibility of both the supervisor and supervisee to recognise, respect and value people's differences via promoting equality of opportunity

Confidentiality and Access:

The content of supervision sessions will be treated with respect and in a professional manner. Supervision records are private between both parties but the contents of supervision may need to be disclosed in some circumstances. These might include;

- Another manager providing management cover for the supervisor.
- Inspectors during an inspection.
- Senior managers for audit purposes.
- Investigating officers (e.g. in cases of conduct or capability enquiries).

Supervision records are the property of the London Borough of Waltham Forest and records will be secured with the line manager.

Supervision records will inform staff appraisals; personal development plans and the Assessed and Supported Year in Employment.

Disagreements

Areas of disagreement will be recorded as well as every effort made to resolve disagreements or difficulties within the supervisory relationship at an informal level before reverting to more formal processes. Any disagreement that cannot be resolved will be referred to the supervisor's line manager.

Review of the individual supervision agreement

The Individual Supervision Agreement will be reviewed at least annually.

Other matters included in this supervision agreement

Any other matter which further addresses the needs of the supervisee should be considered.

Signed & Agreed [Supervisor]	
Signed & Agreed [Supervisee]	
Date of Agreement	…../…../…..
Date of Review	…../…../…..
Auditor	
Date	…../…../…..

Personal Supervision template

Supervisor Name	
Supervisee Name	
Date of this supervision	…./…./….
Date of last Supervision	…./…./….

Check-in (how are you?)

| Reflective discussion

During reflective discussion please identify which Knowledge and Skills Statement [KSS] are relevant and illustrate with reference to the work context / case discussion |
|---|
| |

| Any recent audit activity?

Please delete as appropriate [if YES please provide details in the box below of your reflective discussion regarding audit findings	YES / NO

Any recent direct observations? *Please delete as appropriate [if YES please provide details of the reflective discussion regarding any recent direct observations in the box below]*	**YES / NO**

Non-casework activities
Workplace issues

Appraisal objectives
L&D objectives
Training plan (CPD completed within last 12-24 months)
Career development/progression

Health & Safety issues	
Additional needs & reasonable adjustments	
Any performance / capability issues? *Please delete as appropriate [if YES please provide details in the box below*	**YES / NO**

Annual leave [including remaining AL]	
TOIL / FLEXI	
Sickness / absence	
AOB	

Case Discussion Supervision template

Date of supervision	
Child name and Mosaic ID	
Supervisee	
Supervisor	

Copy of the child's plan for children who are looked after this would be the review decisions and for those in assessment part 3 of the C&F.

What	Who	When

Key dates since last supervision –dates of meetings i.e. PEP, health assessments, Core groups, Dates child seen, any significant contacts; date of care/pathway plan, etc.

Date	Event	Impact on Child

Reflective discussion
Families past: how this impacts now
For looked after children please include family time – review of progress

Location the family live and any contextual safeguarding risk factors
For looked after children, please update on progress of child's alternative home

Child's voice

What is working well

What isn't working well

Grey areas

Hypothesis on how services can support the progression of the plan/ Permanency Planning / Parallel Planning including care proceedings and key dates

Actions

Action	Date set	Due date	Update on progress

Template : Child and Family Practitioners - Professional Development Plan (KSS)

Outline your development needs including skills and knowledge required.

Skills and knowledge required	Development activities	Training	Evidence
Relationships and effective direct work			
Communication			
Child development			
Adult mental ill health, substance misuse, domestic abuse, physical ill health and disability			
Abuse and neglect of children			
Child and family assessment			
Analysis, decision-making, planning and review			
The law and the family and youth justice systems			
The role of supervision			
Organisational context			

Department for Education Knowledge & Skills Statement for approved Child & Family Practitioners:

Post-qualifying_stan dard-KSS_for_child_a

CPD mapping Document.docx

PCF 2018.pdf

Template : Child and Family Practice Supervisors - Professional Development Plan (KSS)

Outline your development needs including skills and knowledge required.

Skills and knowledge required	Development activities	Training	Evidence
Promote and govern excellent practice			
Developing excellent practitioners			
Shaping and influencing the practice system			
Effective use of power and authority			
Confident analysis and decision			
Purposeful and effective social work			
Emotionally intelligent practice supervision			
Performance management and improvement			

Department for Education Knowledge & Skills Statement for Practice Supervisors:

Post-qualifying_standard-KSS_for_child_a

PCF 2018.pdf

CPD mapping Document.docx

Template : Adult Practitioners - Professional Development Plan (KSS)

Outline your development needs including skills and knowledge required.

Skills and knowledge required	Development activities	Training	Evidence
Statement overview			
The role of social workers working with adults			
Person-centred practice			
Safeguarding			
Mental capacity			
Effective assessments and outcome based support			
Direct work with individuals and families			
Supervision, critical reflection and analysis			
Organisational context			
Professional ethics and leadership			
Level of capability: social worker working in an adult setting at the end of their first year in employment			
The National Framework for the Assessment of Social Workers at the end of their Assessed and Supported Year in Employment			

Department for Education Knowledge & Skills Statement for social workers in Adult Services:

DOH KSS for ASC
SW.pdf

Template : Adult Practice Supervisors - Professional Development Plan (KSS)

Outline your development needs including skills and knowledge required.

Skills and knowledge required	Development activities	Training	Evidence
Values and ethics			
Influencing and governing practice excellence within the organisation and community			
Developing confident and capable social workers			
Assuring good social work practice and development			
Promoting and supporting critical analysis and decision making			
Relationship-based practice supervision [practice supervisors who have PEPS Stage 2 or PDE through externally moderated or quality assured programmes meet the requirements for this statement]			
Effective use of power and authority as a practice supervisor			
Performance management and improvement			

Department for Education Knowledge & Skills Statement for practice supervisors in Adult Services:

DOH KSS for ASC
PS.pdf

The Professional Capability Framework

Professional Capabilities Framework

BASW England
The professional association for social work and social workers

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www.basw.co.uk/pcf

Supervision audit tool

- The purpose of the audit tool is to ensure that all staff members receive supervision in accordance with the supervision policy.

- Both Mosaic and personal supervision folders must be reviewed as part of the supervision audit process.

	Name of Staff:		
	Team Manager/Team/Service:		
	Period of Audit:		
	Name of auditor: **Date of audit: ..../..../....**		
	Audit Question	**Yes/No**	**Comments**
1.	Does the worker have a supervision folder? *Standard: All workers should have their own supervision folder.*		
2.	Is there a supervision agreement? *Standard: All workers should have a supervision agreement which addresses frequency, location, content, dealing with disagreements, recording etc.*		
3.	Has there been a review of the supervision agreement? *Standard: The agreement should be reviewed after the probationary period and thereafter at least every 6 months.*		
4.	Is the schedule of supervision appropriate? *Standard: Supervision is held at least 4 weekly and is commensurate with worker's length of service, skills and knowledge base.*		
5.	Is there evidence of supervision recording? *Standard: Managers are to ensure that workers are provided with a copy of the supervision record and that these are agreed and signed.*		
6.	Is there evidence of case evaluation and analysis, as well as reviewing the outcomes of the previous decisions and actions? *Standard: Supervision will set tasks and targets that are SMART and outcomes focussed.*		

7.	Is supervision reflective in nature, exploring the impact of workers emotions and thoughts in respect of the case? *Standard: All staff should be encouraged to reflect on practice and evidence this in supervision re case work and planning.*		
8.	Is there evidence that professional and personal development is addressed? *Standard: CPD/appraisals, including observations of practice, joint visits, meetings, identified training needs are undertaken etc.*		
9.	Are any performance or conduct concerns noted?		
10.	Sickness absence & A/L *Standard: Supervision to address absence, leave, TOIL etc.*		
	Judgement on the quality and effectiveness of supervision	**Outstanding/Good/Requires Improvement/Inadequate**	
	Comments/Improvement Plan		

Appendix 2- Resources & Research

Care Support Staff Considerations

Supervision and the Care Certificate

Adult social care organisations registered with the Care Quality Commission (CQC) are expected to meet the Care Certificate standards and fulfil mandatory training as the minimum in inducting new workers. There will generally be workplace specific induction in addition to the Care Certificate.

The Care Certificate includes almost 50 activities that are subject to workplace assessment and these care duties cannot be performed unsupervised until the new care worker has been assessed as competent in them. The amount of direct supervision required will vary depending on;

- How quickly the new worker can demonstrate competence
- Circumstances arising that enable the new worker to demonstrate this

One of the first jobs of supervisors is to explain the aims of the Care Certificate and what it means for the new member of staff. For supervision to be effective, the supervisor needs to understand what is expected of them in the induction process. Whether a supervisor has a comprehensive role throughout the induction period (and possibly beyond) or has limited duties such as being shadowed for a number of days, they should explain their role to the new worker.

Supervision is most likely to start when a new worker accompanies more experienced workers in a residential care setting or as part of a number of shadowing visits for a homecare agency.

Initial exposure to the care environment has the potential to be emotive, with some aspects of personal care particularly challenging for new workers. Supervisors should be conscious of this and ensure that they regularly check what impact the work is having on the worker, discuss these issues and help the new worker cope with the responsibilities of the role. Supervision in the workplace should enable workers to ensure that their work is always in the best interests of the people being supported.

Supervision in homecare

- Many workers in homecare spend most, if not all of their days working away from their employer's base. However, the fact that the supervisor is not in the same room should not mean the homecare worker is unsupervised.
- New workers, particularly those who are new to the sector, should be ably supervised until they are judged to be safe to work unsupervised. experienced workers and their supervisors may be able to meet with one another only during formal supervision meetings agreed far in advance. However, in that case it is important to ensure that the care worker is able to contact their supervisor when needed to seek advice and expert support.

You can access the Care Certificate Framework here.

Social Work England [SWE]

From December 2019, Social Work England assumed responsibility from the Healthcare and Professions Council (HCPC) for the regulation of social workers in England.

They are an independent public protection body, setting professional and education and training standards for social workers.

The links below provide some further information regarding the objectives and activity areas of SWE.

SWE	**https://socialworkengland.org.uk/**
Role and legislation	**https://www.socialworkengland.org.uk/about/our-role-and-legislation/**
SWE register	**https://www.socialworkengland.org.uk/umbraco/surface/searchregister/results**
SWE Professional standards	**https://www.socialworkengland.org.uk/standards/professional-standards/**
Education and Training Standards	**https://www.socialworkengland.org.uk/standards/education-and-training-standards/**
CPD standards	**https://www.socialworkengland.org.uk/cpd/the-cpd-standard/**
Concerns	**https://www.socialworkengland.org.uk/concerns/raise-a-concern/**
Social Work England	**https://socialworkengland.org.uk/**

Equality, Diversity and Human Rights in Supervision

The process and practice of supervision in social care provides an excellent opportunity for the supervisor to model behaviours which ensure equality, promote diversity and explore any relevant human rights issues. However, just because these areas are so fundamental to the value base of social care we can easily make assumptions and forget their importance. Only when we draw out issues and share learning together can the knowledge and experience we have become part of a positive and enabling culture.

There are several training opportunities available in equality, diversity and human rights which involve e-learning and face-to-face sessions, including a half day for managers. You can access these courses through the E-Learning Zone using the link below;

https://foresthub.walthamforest.gov.uk/services/hr/learning-and-developing/e-learning

The following prompts are included as useful ways in which equality; diversity and human rights issues can be raised and discussed:

Team Meetings: Initially a team discussion could consider what equality, diversity and human rights means to team members and to their particular work. Feedback following a training session could inform this discussion so people who have attended can share their understanding with the team and plan how to apply the learning together. Some specialist input might also be useful on occasions.

Supervision: Within a supervision session the following can be useful reminders of how and where equality, diversity and human rights issues might arise:

- Any examples of direct discrimination experienced by customers or staff (consider the nine protected characteristics of: Gender, Age, Sexual Orientation, Race, Marriage and Civil Partnership, Disability, Gender Reassignment, Pregnancy and Maternity and Religion and Belief.)
- Any examples of policy or procedures that may be perceived as discriminatory towards some individuals or groups
- Any concerns which could be harassment or victimisation
- Examples of good practice, particularly in working with any of the protected characteristics
- Legislation change/updates
- Learning Needs

The ACAS document 'The Equality Act – What's new for employers?' is particularly helpful;

http://www.acas.org.uk/CHttpHandler.ashx?id=2833&p=0

Person-centred Approach

Being person-centred in approach means creating a positive environment with:

- Respect
- Empathy
- Genuineness
- Unconditional Positive Regard

The 'person-centred' approach was developed by Carl Rogers in the 1950s in the field of psychotherapy. Essentially he proposed that a person **will** grow and develop if these core conditions are in place and believed '*that persons have a basically positive direction.* [1]

Respect - for the individual as the person they are, offering non-judgmental acceptance. It is a commitment to being real and honest in the relationship and also about the professional standards expected.

Empathy involves 'getting in contact with another's world', understanding their perspectives and feelings. Empathy builds self-esteem and is very powerful when working with resistance. An important component of empathy is reflecting key themes and messages back to the supervisee through skilled communication (see Active Listening).

Genuineness or congruence can be understood simply as 'being oneself'. This will inevitably influence the level of trust in the relationship between the supervisor and the supervisee. Trust built on an honest, professional relationship is essential so that the likelihood of positive motivation can be maximised.

Unconditional Positive Regard involves regarding the supervisee as a separate person of intrinsic worth and value, a human being and not just a 'human doing'. The challenge for supervisors can be to achieve this while being clear about the standards and performance required.

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[1] Rogers, C *On Becoming a Person* (London: Constable, 1961)

Active Listening Skills

These involve:

Paying full attention and communicating this through verbal and non-verbal cues which include:

- Looking interested
- Leaning forward while not compromising the supervisee's personal space
- Offering eye contact sensitively and as appropriate
- Nodding
- Encouraging through 'ah ha's', mmm… or similar

Paraphrasing what has been said to ensure accurate understanding and clarification. The following phrases can be useful:

- 'Can I just check I've understood, you said….'
- 'So what you're saying is….'

Summarising is a really useful tool for checking understanding or any agreed actions so far, and particularly before moving on to another topic. You may like to use:

- 'Overall, it seems that…'
- 'What seems to be most important to you is…'
- 'So to pull this together…'
- 'To summarise so far…'

Reflecting feelings is to show recognition that someone's feelings are important while checking out understanding and interpretation. This can be very empowering and release the supervisee's energy to change and develop. Useful phrases include:

- 'You sound upset (or very pleased) about that'
- 'I notice that you seem anxious when you mention…'

Effective Questioning

Asking different types of questions effectively (and listening carefully to the answers) provides a way of structuring information in sequence to explore a topic and to get to the heart of the issues. Types of questions include:

- **Open questions -** These are useful in getting another person to speak and can provide you with a good deal of information. They often begin with the words: What, Why, When, Who. Sometimes statements are also useful: "tell me about" or "give me examples of".

- **Closed questions -** These are questions that require a yes or no answer and are useful for checking facts. They should be used with care - too many closed questions can cause frustration and shut down conversation.

- **Specific questions -** These are used to determine facts. For example "How much did you spend on that?"

- **Probing questions -** These check for more detail or clarification. Probing questions allow you to explore specific areas. However, be careful because they can easily make people feel they are being interrogated.

- **Hypothetical questions -** These pose a theoretical situation in the future. For example, "What would you do if…?' These can be used to get others to think of new situations and how they might cope or use their skills.

- **Reflective questions -** You can use these to reflect back what you think a speaker has said, to check understanding. You can also reflect the speaker's feelings, which is useful in dealing with angry or difficult people and for defusing emotional situations (ref. Active Listening Skills above).

- **Leading questions -** These are used to gain acceptance of your view – they are not useful in providing honest views and opinions. If you say to someone 'you will be able to cope, won't you?' they may not like to disagree.
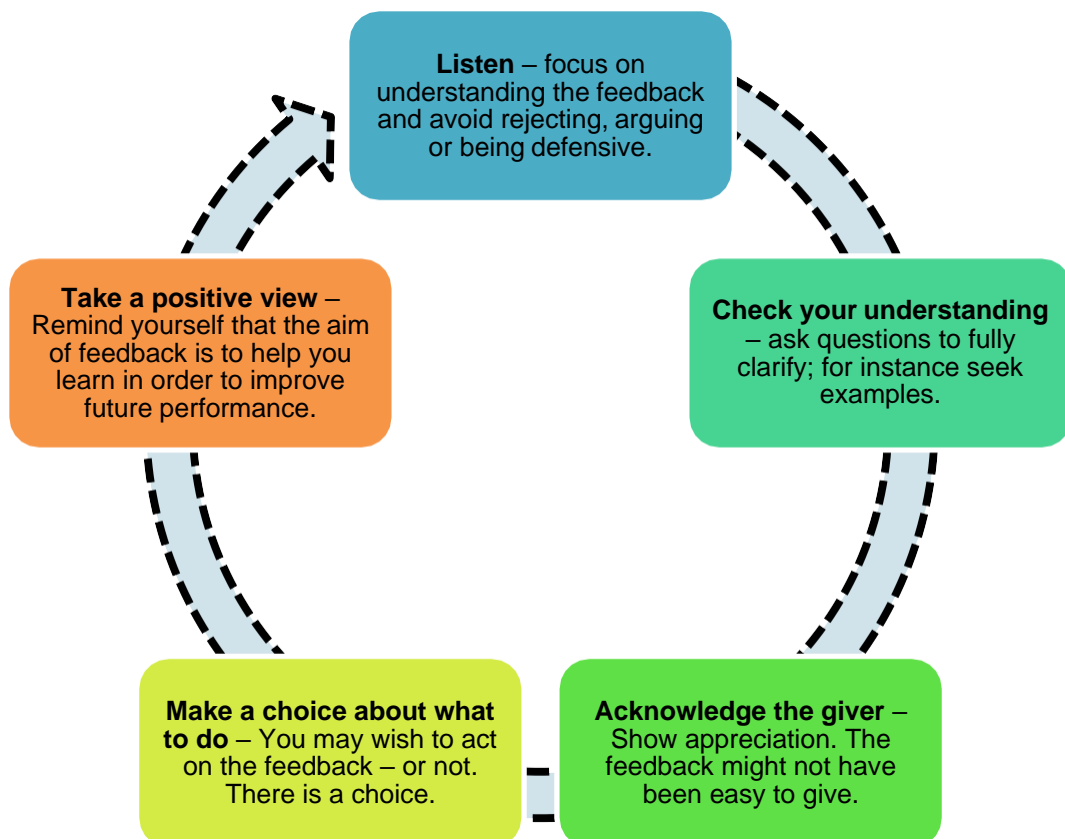
Giving and Receiving Feedback

Supervision aims to be a two-way process where learning is effectively and respectfully shared, so the giving and receiving of good feedback by both supervisor and supervisee is essential. When offered within a relationship of trust and professionalism helpful information can be offered about the impact of a person's behaviour has on others.

Good feedback is:

✓ **Invited** – ideally feedback, should only be offered on request or by agreement.
✓ **Timed** – for most people feedback is more effective when given shortly after the event.
✓ **Positive** – It is paramount to spend time commenting on the positive aspects of performance.
✓ **Specific and prioritised** – Quote the exact words or actions rather than using general statements like 'that was fine' and explain your reasons to the other person. Most people can only cope with a maximum of three points at any one time so be selective about your feedback even if this does cover every aspect.
✓ **Alternatives and suggestions** – After listening to how the person themselves perceives their performance, offer your views on the ways in which they might develop or improve**.**
✓ **Owned** – If the giver of feedback uses an 'I' statement, this leaves the receiver free to accept or reject a comment rather than having a view or a judgement imposed; it is a more sensitive approach for delicate issues in particular.

When receiving feedback:

Listen – focus on understanding the feedback and avoid rejecting, arguing or being defensive.

Check your understanding – ask questions to fully clarify; for instance seek examples.

Acknowledge the giver – Show appreciation. The feedback might not have been easy to give.

Make a choice about what to do – You may wish to act on the feedback – or not. There is a choice.

Take a positive view – Remind yourself that the aim of feedback is to help you learn in order to improve future performance.

Challenging and Confronting

Once again there is a wide range of tools and models available, two of which are outlined below. Challenge may be required because of poor performance or because behaviour falls short of professional standards. While people mostly do not set out to deliberately offend, we can all behave inappropriately because of:

- Ignorance
- Pressure to conform
- Our vulnerability
- Being in a position of power
- Behaviour or language from our upbringing

A 3-Step Approach for Challenging

This is a valuable everyday tool, probably not suitable for complex or very serious situations, but very useful indeed for preventing any escalation of unacceptable behaviour and embedding a positive culture which is professional at all times. Discriminatory behaviour or harassment can be confronted which enables managers to fulfil their responsibilities under the GSCC Codes of Practice, organisational policies and the Equality Act 2010.

State the behaviour	Explain the impact or effect	Explain what you want to happen
For example this might be inappropriate language, time keeping, shouting, invasion of personal space. *'When you …………..'* Simply describe the behaviour or quote the language without judgement or accusation.	For example, as an individual you may have found the language or behaviour offensive, embarrassing or distasteful. In a team or work-setting the behaviour may have been unprofessional or reflected badly on the competence or reputation of the team. *'I feel…'* or *'….it has…………us as a team or profession'*	This may simply be a request for the behaviour to stop or a constructive suggestion about how things could be done differently. (If this is not the first time the behaviour has occurred, or if it is very serious, you may need to be clear about what the possible consequences could be). *'I would like you to……………………..'*

Emotional Intelligence

Building on [Howard Gardner](#)'s *Frames of Mind: The Theory of Multiple Intelligences* (1983) Daniel Goleman is generally credited with developing and applying the concept of Emotional Intelligence (EQ)[2].

The components of EQ are self-awareness, self-regulation and motivation.

To be successful requires the effective awareness, control and management of one's own emotions, and those of other people. EQ embraces two aspects of intelligence:

- Understanding yourself, your goals, intentions, responses, behaviour and all.

- Understanding others, and their feelings.

Goleman identified the five 'domains' of EQ as:

1. Knowing your emotions.
2. Managing your own emotions.
3. Motivating yourself.
4. Recognising and understanding other people's emotions.
5. Managing relationships, i.e., managing the emotions of others.

Emotional Intelligence embraces and draws from numerous other branches of behavioural, emotional and communications theories, such as NLP (Neuro-Linguistic Programming), Transactional Analysis, and empathy.

The process and outcomes of Emotional Intelligence development also contain many elements known to reduce stress for individuals and organizations, by decreasing conflict, improving relationships and understanding, and increasing stability, continuity and harmony. http://www.businessballs.com/eq.htm

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[2] Goleman, D *Emotional Intelligence* (New York: New York Times, 1995)

Supervision Process Models

Ways, methods and models for conducting supervision are many and varied often being borrowed from a range of other disciplines. The examples offered below are a selection which are tried and tested but do not represent a comprehensive sample.

Before beginning the following bullet points could be helpful:

- Ensure that you have arranged the session at a mutually convenient time and place.
- Allow enough time for the supervision and be punctual
- Arrange a suitable and comfortable venue and ensure that you are free from interruptions.

CLEAR Coaching Model by Peter Hawkins

The CLEAR model was developed by Peter Hawkins in the early 80's as a process for coaching. It is also applicable and well tried within a supervision environment as will become apparent below. CLEAR an acronym for **C**ontracting; **L**istening; **E**xploring; **A**ction; **R**eview. It is not dissimilar to the GROW model (another well known coaching model) although it includes additional elements.

CONTRACTING

Contracting is an opportunity to set the ground rules for working together and establishing the outcomes and priorities wanted by both supervisor and supervisee. If this is an initial meeting this step will be probably be extended to ensure the understanding and signing of a written Supervision Agreement or Contract and explanation of the Standard Agenda if there is one. (Drafts of these documents can be found….)

LISTENING

This stage is all about actively listening to your supervisee. Using a person-centred approach, help them to gain an understanding of their situation with respect to the standards, priorities and tasks required.

EXPLORING

This stage comprises two elements:

Exploring 1: Helping the supervisee to understand the impact of their performance, both positive and negative, and the effects on themselves, both personally and professionally .

Exploring 2: Challenging the supervisee to think through possibilities for future action in resolving the situation or developing their practice.

ACTION

At this stage you are supporting the supervisee to choose a way ahead, and decide the next steps within the context of the standards, priorities and plans which inform their role.

REVIEW

Finally this is about closing the session, reinforcing ground covered, decisions made and value added. As a supervisor you are also encouraging feedback from your supervisee on what was helpful about the supervision process or session, what was difficult and what they would might be helpful in future sessions.

Further Reading:

[Coaching, Mentoring and Organizational Consultancy: Supervision and Development](#) by Peter Hawkins and Nick Smith (Paperback - 1 Jan 2007)

Egan model of Problem Management and Opportunity Development – Adapted for Supervision
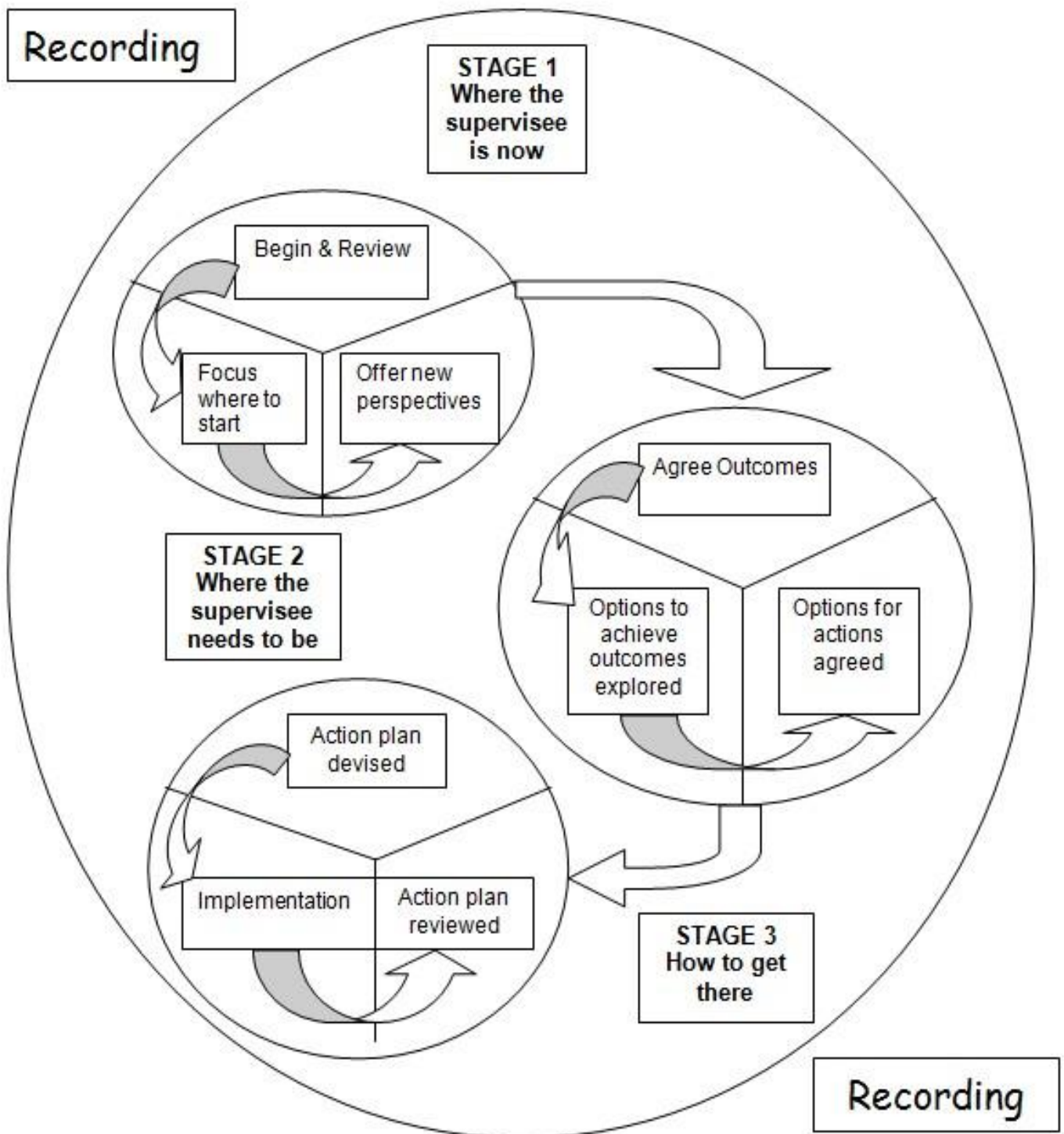
Figure 2: Developed from 'Egan, G *The Skilled Helper'* (3rd Edition) Brookes Cole, 1986

Process notes

The proposed model has been adapted and developed from a model of problem management and opportunity development initially devised by Gerard Egan. It comprises three stages and each stage consists of three steps. The recording of the process is agreed and shared.

The model can be regarded as a map which enables the supervisor to recognise where they are in the process and move towards a satisfactory outcome. Supervisees may, of course, want to begin the process at any one of the three stages or need to retrace their steps a number of times, but if you can recognise where you are it becomes more straightforward to get to where you need to be!

The model is most effective when used within a person-centred approach and also needs supervisors to be competent in the skills of active listening, skilled questioning, appropriate challenging and accurate observation.

Prior to the supervision session, prepare the environment and review notes from previous session.

Stage 1 – Where the supervisee is now

Step One – *Begin the supervision and/or review*:

An essential part of this step is for the supervisee to be able to 'check in' and feel comfortable, being able to raise issues which are currently most important or urgent for them.

- Acknowledge achievements and progress
- Be aware of the supervisee's feelings and alert for any signs of stress

Step Two – *Focus where to start*:

This is particularly important if there are several issues or the situation is complex.

- Follow up any matters arising from the previous session/notes
- Identify and agree agenda items and priorities (the Standard Supervision Agenda can be used as a guide) according to supervisee's and supervisor's priorities.

Step Three – *Offer new perspectives*:

- The supervisor provides essential information and updates
- Through skilful listening the supervisor enables the supervisee to realise new insights and possibilities. Performance management issues may need to be identified and areas for challenge addressed.

Steps 2 & 3 also provide an opportunity to review and reflect on any learning and development which has taken place since the last supervision and complete any evaluation or monitoring forms.

Stage 2 - Where the supervisee needs to be

Step One – Clarify and agree outcomes:

- Supervisor needs to ensure that the supervisee understands specific organisational and individual performance targets, and required standards of work, by providing full, accurate and relevant information
- Consider longer term outcomes in terms of career aspirations and learning & development

Step Two – Options to achieve outcomes explored:

- Outcomes are assessed for relevance and cost (financial, time and effort) and degree of change involved
- Recognise any need for involvement of other workers, areas of expertise or agencies

Step Three – Options for action agreed:

- These need to meet the aptitudes, abilities and level of responsibility of the individual supervisee.
- Are there any learning, training or development requirements?
- How does the supervisee feel? Are there any conflicts with their own (or the organisation's) value base?

Stage 3 - How to get there

Step One – Action plan devised:

- SMART is a useful tool for assessing objectives and ensuring they are practical:
- SMART stands for:
    - Specific
    - Measurable
    - Achievable **and** Agreed
   - Relevant **and** Realistic
    - Timed

Step Two – Implementation:

- Consider any appropriate resources or support which may be required – is coaching or mentoring necessary to provide necessary skills or knowledge?
- It may be necessary to challenge any unrealistic expectations
- Be clear about who does what and consider scenarios if circumstances change

Step Three – Action Plan reviewed:

- Items to be taken forward to the next supervision session are identified and agreed
- This Step may lead directly back to Step 1 in Stage 1 as the Actions are reviewed against the agreed outcomes.

'EDICT' Supervision Process Model
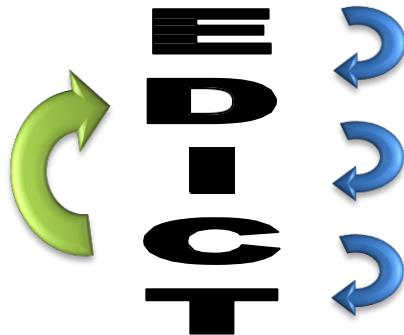
Entry –

- Initial conversation to welcome the supervisee, offer any refreshment and set a relaxed, interested atmosphere. This stage should demonstrate that the person is valued and is an opportunity to observe initial body language.

- *With an existing supervisee:*

    - Agree the agenda which will probably include;

        - Monitoring targets set at the last appraisal
        - Monitoring action points set at the last supervision
        - Issues based on supervisee's performance

- *With a new supervisee:*

    - Listen to supervisee's hopes and fears about supervision
    - Ensure understanding of the Supervision policy
    - Clarify the format – how long? How often? Where? When? Confidentiality, Contracts etc.

(See Supervision Agreement & Standard Agenda)

Diagnosis –

Use the skills of active listening, effective questioning and giving feedback to open up relevant issues while resisting the pressure to find quick solutions. In diagnosis the supervisor needs to take time to fully explore:

- The scope of the issue
- Is anyone else involved?
- What is the context?
- Any organisational dimensions

Figure 3: 'EDICT' supervision process model as devised by IDT. *(Effective Supervision Skills. Course Manual. IDT Training & Education. 2004*

Input –

Expert or Facilitator?

Supervisors will need to decide which issues require them to input their expertise, typically in legal, ethical or organisational contexts, and when they need to facilitate the supervisee to devise their own solutions. These decisions are likely to be influenced as much by the personalities, styles and background of both the supervisor and supervisee as much as by the issue itself and sometimes only experience will reveal which approach is most effective.

Contracting –

Contracting is likely to occur after Diagnosis and Input on each of the agenda points and needs to cover:

- Any actions agreed **and** the understanding of those actions with the supervisee:

    - who is going to do what
    - by when
    - what resources are required and can they be accessed

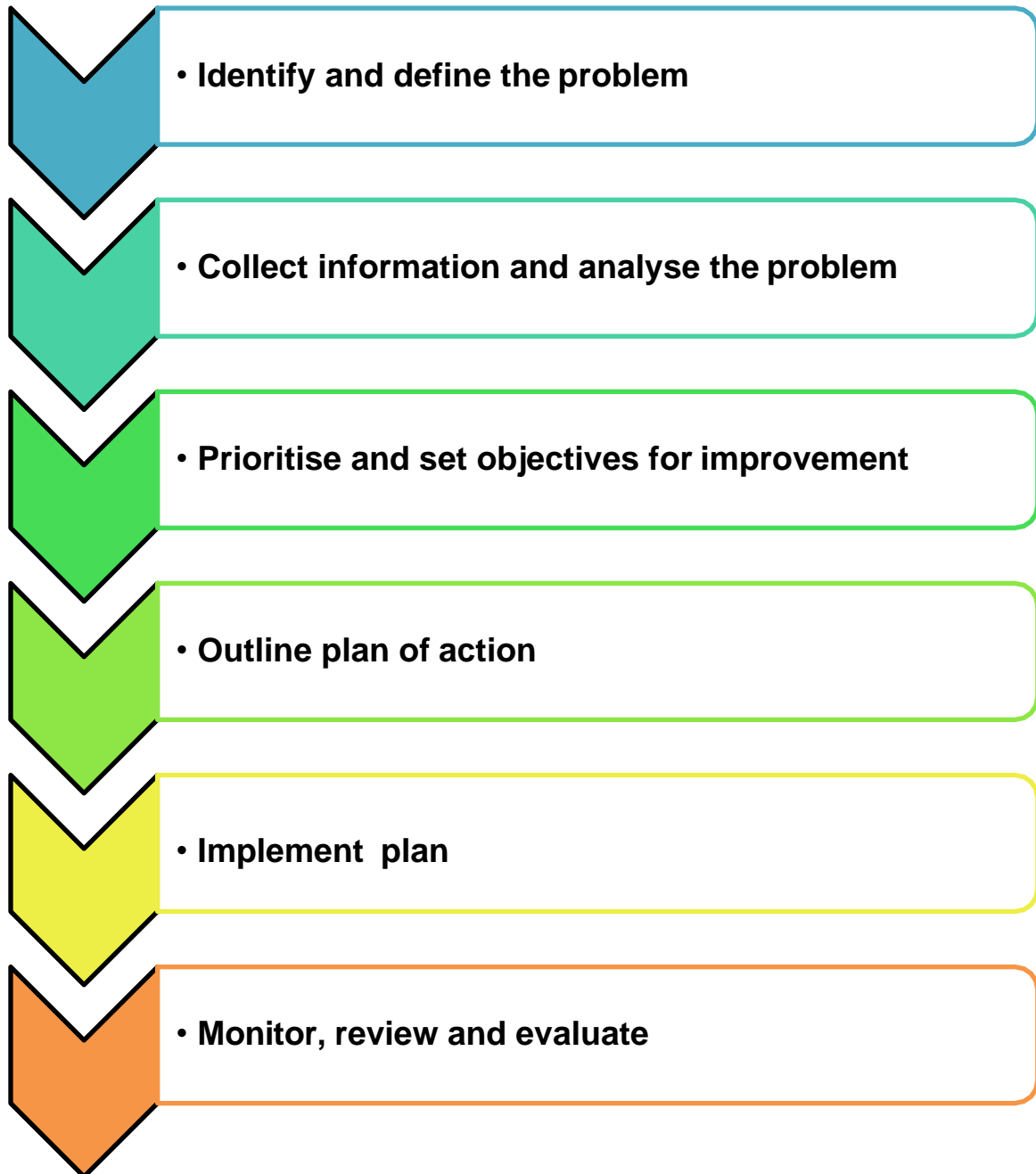- Agreed action points for the agenda next time

Transition –

The main purpose of Transition is to move out of the exclusive 1:1 session back into the usual working environment. The supervisee needs to leave the session clear about:

- Channels of communication
- Available support
- Awareness of boundaries

The supervisor needs to avoid micro managing the supervisee to ensure they have minimised any risks of dependency.

A Problem Solving Approach

- Identify and define the problem

- Collect information and analyse the problem

- Prioritise and set objectives for improvement

- Outline plan of action

- Implement plan

- Monitor, review and evaluate

Notes:

Identify and define the problem – identify key problems which will have most impact on service quality. When definition is clear then 'greater focus can be given to problem analysis, objective setting and planning' (p7).

Collect information and analyse – 'Planned and methodical information collection can impact positively and directly on the effectiveness of problem solving' (*ibid.*). The method of analysis will depend upon the nature of the problem. For example:

- Using benchmarks and standards
- Critical Reflection
- Appreciative enquiry
- Comparison with other models of good practice

Prioritise and set objectives – These ideally need to be SMART, although some qualitative objectives have value even if they are not easily measurable, for example: 'To ensure stakeholders are committed and motivated in implementing change'. Clear objective setting helps to structure both planning and evaluation.

Plan of action – Link action plan to each identified objective. Tools such as bar and Gantt charts can be useful. Creative methods and tools can also be used. Planning the evaluation also needs to be done at this stage.

Monitor and evaluate – identify who will monitor and how. Establish milestones with dates and activities required. Evaluate effectiveness against the agreed measures and methods.

Figure 4: Gray, I., Field, R & Brown, K (2010) *Effective Leadership, Management and Supervision in Health and Social Care.* Pp6-10. Exeter: Learning Matters)

Group or Peer Supervision

The creation of a person-centred environment has also been shown to enhance growth within a team or group. The following process model is one of many which is tried and tested; it can be guided by an external facilitator or by a member of the group as well as used in a range of settings, including team meetings or gatherings of specific peer groups to review practice.

This approach and process supports supervision by offering unconditional positive regard and being non-judgemental - the experience then becomes positive, valuing, creative, dynamic and also helps to resolve any conflict.

Principles:

- This approach begins to develop a positive climate in which team members are more likely to make the desired changes.

- The approach is affirming and optimistic and it frees the team from the blame culture, enabling learning and growth to take place.

- The focus is on each person's strengths, potential ideas, progress and aspirations.

- Each team member's role is to validate what other people do well – this helps individuals to feel better about themselves.

- If it doesn't work, STOP doing it.

- Find out what works, and do more of it.

Solution Focused Reflection Session

1. Preparing

All team members take a few minutes to think about which case they might bring in. The first team member is then asked to present their case.

2. Presenting

This person (the case presenter) describes the situation and specifies what it is they want help with. The other team members listen without interruption until the case presenter has finished.

3. Clarifying

The team members each take a turn to ask one question and one follow-up question, and then remain silent until their turn comes around again. Questions for clarification are encouraged (what, where, when, who and how questions). Why questions are discouraged.

4. Affirming

The team members tell the case presenter briefly what impresses each of them most about him, or her, in the situation they have described. The case presenter remains silent (except perhaps for a 'thank you').

5. Reflecting

Each team member says one thing at a time or 'passes'. Sometimes team members offer reflections triggered by previous reflections. The team continues until everyone has said all they want to say, or time runs out. The input that is offered contains everything that team members consider relevant – for instance technical input, advice, reflections, metaphors, or even poetry. The case presenter remains silent and can only briefly speak to point out any persistent misunderstandings that may occur.

6. Closing

The case presenter responds briefly to what was said in the reflecting phase, usually stating what seems most applicable and specifies some course of action.[3]

Difficult situations - Courageous Conversations

When people try to get into tough conversations they know they should have, many find that something stops them from getting to the heart of the matter. Sometimes we shy away at the last moment, sometimes we get a reaction that tells us it's going to be hard, so we back off, and sometimes we just can't find the right words to start with anyway.

The problem is that we can sometimes get left feeling frustrated that what needed to be said – wasn't said. We didn't assert ourselves as fully as we could have. John Dickson's model shows us a way…

Critical Reflection

Background:

Critical reflection has long been integral to the Social work profession as an essential tool to enable analysis, understanding and learning. The Social Work Reform Board (2010) states:

> *Critical reflection and analysis' = one of the proposed professional capabilities for social workers… it should emphasise 'reflective practice in action'.*

Also Eileen Munro[4] in her recent report is equally clear:

Munro (2011) recommends that staff are supported to achieve:

> *…a high level of critical reflection to test their thinking, drawing on relevant theory and research, and how they can create a work environment that encourages the development of expertise…*

Tony Morrison & Jane Wonnacott (2010) clarify the essential link between critical reflection and supervision[5]:

> *Professional practice, and worker/service user dynamics need to be critically analysed and the impact of the worker's emotions on thoughts and actions is*

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[4] Prof Munro, Eileen *The Munro Review of Child Protection: Final Report A child-centred system,* Department for Education, May 2011

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[5] Supervision: Now or Never: Reclaiming Reflective Supervision in Social Work. http://www.in-trac.co.uk/reclaiming-reflective-supervision.php

explored. This is the basis by which reflective but authoritative social work/care practice is developed. Drawing on research and experience of working with supervisors, the Supervision-Outcomes chain describes the way in which supervision influences practice.

Core Conditions of Critical Reflection:

- Encouragement and facilitation of professional and personal development by attending to the emotional content of the work and how reactions to the content affect the work.
- Integration of **<u>EMOTION</u>** and **<u>REASON</u>** - it is essential to:
OBSERVE, LISTEN, WONDER and RESPOND

Useful Tools:

Prompting phrases:

- "I'm wondering…"
- "Can we explore for a moment…"
- "What are your thoughts on…"
- "How would you approach…"
- "What are the possibilities you see in…"
- "How will your strengths…"
- "Can you tell me (a little more) about…"
- "How would you describe…"
- "What would happen if you tried…"
- "How do you understand/Can you help me understand…"
- "If you viewed this from_____'s perspective, what would you see…"
- "What do you need from me today to feel supported…"

Reflection grid:

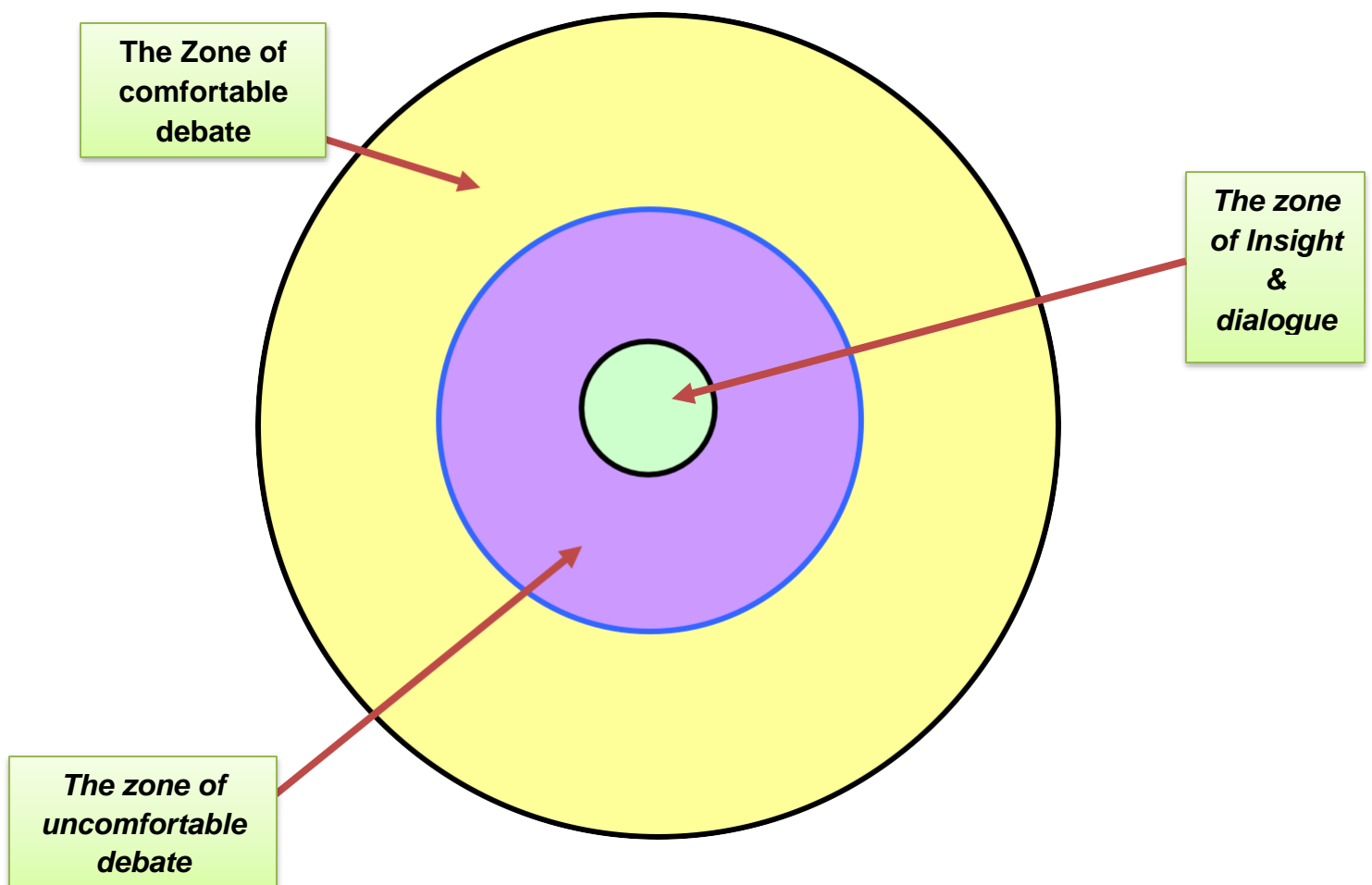| What has gone well?	What has not gone well?
What does the supervisee see as his/her learning needs?	**What does the supervisor see as the supervisee's learning needs?**
What has the supervisee learned from this experience?	**What does the supervisor feel the supervisee has learned/could have learned?**
What will the supervisee plan to do differently?	**What does the supervisor suggest the supervisee could do differently?**

Difficult situations and issues

Here is some information and guidance for supervisors dealing with difficult situations, recognising issues and supporting supervisees.

Courageous Conversations

When people try to get into tough conversations they know they should have, many find that something stops them from getting to the heart of the matter. Sometimes we shy away at the last moment, sometimes we get a reaction that tells us it's going to be hard, so we back off, and sometimes we just can't find the right words to start with anyway.

The problem is that we can sometimes get left feeling frustrated that what needed to be said – wasn't said. We didn't assert ourselves as fully as we could have. John Dickson's model shows us

The Zone of comfortable debate

The zone of Insight & dialogue

The zone of uncomfortable debate

The problem is overcoming the GAP. This is the difference you sense between what you FEEL and what you actually SAY. To resolve the GAP, John suggests we need to work through the three 'E's:

1.   Explain the GAP.
2.   Explore the GAP
3.   Eliminate the GAP

EXPLAIN

1. This is the issue…
2. An example of this is …
3. What I feel is …
4. What is at stake is …
5. My contribution to this issue is …
6. I want to resolve this with you because …
7. What do you think & feel about it?

EXPLORE

Using the following acronym (or any other explorative process)

S   situation   … How do we both see it?

A   ambition   …What are you aiming for? What am I aiming for?

I   impediment   … What gets in the way of us achieving what we need?

N   knock-on impact   … If we continue this way, what are the negative consequences

T   test solutions   … To be more productive, what I'd like to try out with you is…

ELIMINATE

- What are our clear and agreed actions?
- What am I going to do?
- What are you going to do?
- What are our first steps?

Responsive Behaviours & Assertive Behaviours

Responsive Behaviours

Display empathy

Use body language to indicate listening e.g. nod, "go on", "uhuh"

Keep good eye contact

Voice – open, interested, inquiring

Body – relaxed, open posture

Tone – firm, level

Express feelings

Ask information seeking questions

Be flexible with time perspectives

Allow silence

Don't rush questions

Use open-ended responses

Avoid whining "poor me"

Use stories and anecdotes

Assertive Behaviours

Voice – clear, precise, crisp, firm

Tone – strong, steady, calm, with emphasis

Body – straight, balanced

Stand firmly on two feet

Face to face

Language – I think, I feel, I want

Firm handshake

Use gestures to emphasise

Use clear and concise statements

Regular breathing

Listen to the tempo of your delivery

Challenge (if appropriate)

Concentrate on details