



Fundamentals of Clinical Supervision, Part 3 & 4

Patricia M. O'Dell, MSW, LCSW
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AGENDA

Welcome and Scope of the Course

Part 1

Administrative, Educational and
Supportive Functions of Supervision
Conflict

Part 2

The Developmental and Interactive
Models of Supervision
Legal Issues
Guidelines for Effective Supervision



The Developmental Model of Supervision

The premise:

supervisors and supervisees change and grow based on their level of experience and expertise



Developmental Model of Supervision

Developmental Model of Supervision

- ✦ Beginning Stage
- ✦ Intermediate Stage
- ✦ Advanced Stage

(Campbell, 2006)



The Interactional Model of Supervision

Carlton Munson, whose book, *Clinical Social Work Supervision*, is based on the interactional model, states that “the process of supervisory practice is as important as the content of supervision.”

(Munson, 1993, p. 14)

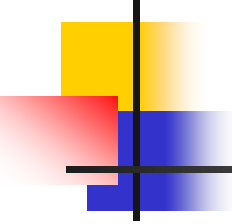


An Interactional Model for Supervision *continued*

The interactional model provides a framework for the helping process that suggests a parallel between

- ✦ the skill of the supervisor and the supervisee in creating a positive relationship and
- ✦ a positive working relationship between the supervisee and the client.

(Cohen, 2002; Shulman, 1994; Kadushin & Harkness, 2002)



An Interactional Model for the Structure and Use of Supervision

Shulman (1994) identifies four stages

1. Preliminary (Connecting)
2. Beginning (Establishing the Contract, Developing the Relationship)
3. Middle (Making the Demand for Work)
4. Ending/Termination



Interactional Model: Preliminary Phase

1. Preliminary (or Preparatory) Phase

*Involves the time period prior to your first encounter with your supervisee as well as during the first meetings, when **tuning in** is critical.*

(Shulman, 1994; Workshop Notes from Shulman, CSWE, 1999; Cohen, 2004)

Interactional Model:

Preliminary Phase *continued*

Prior to the first encounter the supervisor should

- ✦ Block out time for supervision;
- ✦ Tune in to possible feelings of the new supervisee;
- ✦ Reflect on the knowledge, values and skills she/he brings to supervision;
- ✦ Plan how the supervisee will be oriented to supervision, staff, the agency, and the clients;
- ✦ Plan a tour of the agency and community;
- ✦ Identify safety issues and concerns.

Interactional Model:

Preliminary Phase *continued*

You want to engage your supervisee through

- ✦ Welcoming behaviors
- ✦ Showing genuine interest in previous work and past supervisory experiences
 - What has been helpful, difficulties or disappointments
- ✦ Identifying professional goals, specific areas of interest, learning needs

Interactional Model:

Preliminary Phase *continued*

You are assessing what learning will take place given

- ✦ Your supervisees temperament, ability, experience, learning style
- ✦ Your particular skills, interests and motives
- ✦ Your agency's needs and demands

Schulman's Model: Beginning Phase



2. Beginning Phase (Establishing the Contract, Developing the Relationship)

Refers to the initial meetings in which the supervisor develops a working contract with the supervisee while promoting a trusting relationship.

(Shulman, 1994; Workshop Notes from Shulman, CSWE, 1999; Cohen, 2004)

Interactional Model: Beginning Phase *continued*



Phase 2 – The supervisory contract (clarifying purpose)

The supervisory contract should be a dynamic agreement made between the supervisor and supervisee that identify

- ✦ Expectations
- ✦ Responsibilities
- ✦ Requirements
- ✦ Criteria for success

(Shulman, 1994; Campbell, 2006, Cohen, 2004)



Interactional Model: Beginning Phase *continued*

The contract models informed consent, which is an ethical responsibility for all practitioners

- ✦ eliminates miscommunication
- ✦ establishes a foundation for evaluations

(Cohen, 2004; Falvey 2002)

Interactional Model: Beginning

Phase *continued*

Supervisors facilitate trust and safety by

- ✦ Being a supportive presence (expressing warmth and caring, acceptance, unconditional positive regard)
- ✦ Attending behaviors (genuineness, validation, availability)
- ✦ Listening
- ✦ Empathy
- ✦ Tuning in
- ✦ Reaching for feedback

Interactional Model: Beginning

Phase *continued*

The role of empathy within the supervisory relationship is critical.

The feeling of being understood is a cornerstone to relationship building.



Interactional Model: Middle Phase

3. Middle Phase (Making a Demand for Work)

Focuses on the work to be done and creates a work culture. This phase continues throughout supervision until termination, with returns to Phase 2 (to renegotiate the contract/attend to the relationship).

(Shulman, 1994; Workshop Notes from Shulman, CSWE, 1999; Cohen, 2004)

Interactional Model: Middle

Phase *continued*

The supervisory tasks in the middle phase

- ✦ challenging the illusion of work while also
- ✦ supporting supervisees as they grow professionally

Interactional Model: Middle

Phase *continued*

Shulman (1993) coined the term *illusion of work* to describe avoidance patterns used by supervisees

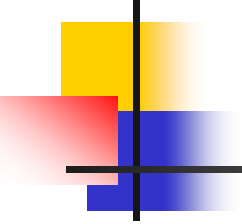
- ✦ Rambling, not stopping for feedback
- ✦ Jumping from topic to topic
- ✦ Ignoring supervisor's suggestions
- ✦ Being too busy to meet for supervision

Interactional Model: Middle

Phase *continued*

When this occurs, ask yourself,

“What is my supervisee telling me or not telling me by this behavior?”



To deal with the illusion of work
begin by joining, then challenge

Interactional Model: Middle

Phase *continued*

The challenge...

"I hear that everything is going well, but I'm not hearing about the difficulties. I wonder what this means... Is there something I am doing or not doing that is causing you some difficulty?... Do I seem critical?... Is there something I can change to make supervision go better for you?..."

(Campbell, 2006, p. 212)

Interactional Model: Middle

Phase *continued*

The beginning and middle phases are where supervisors often see obstacles emerge.

Interactional Model: Middle

Phase *continued*

During the two middle phases supervisors need to establish a balance between 3 forces:

- ✦ Authority Issues
- ✦ Intimacy Issues
- ✦ Expectation and Demand for Work

Interactional Model: Middle

Phase *continued*

Authority Issues

- ✦ The supervisor must be sensitive to how the authority theme affects the supervisee
- ✦ Be prepared to discuss it directly if it blocks the working relationship.

(Shulman, 1994; Workshop Notes from Shulman, CSWE, 1999)

Interactional Model: Middle

Phase *continued*

Authority is best used when the supervisor is able to

- ✦ Demonstrate professional competence (knowledge, values, skills)
- ✦ Manage and contain difficult material and feelings
- ✦ Challenge constructively
- ✦ Manage their time and priorities

Interactional Model: Middle

Phase *continued*

Supervisors need to acknowledge that they have authority and power which can be misused

- ✦ Supervisors can create feelings of inferiority in the supervisee who may feel vulnerable sharing their work
- ✦ The supervisor can also be seen as a parental figure (transference, induced counter-transference)

Interactional Model: Middle

Phase *continued*

Intimacy Issues

The supervisee must answer for him/herself what the potential risks and benefits are for self-disclosure

Interactional Model: Middle

Phase *continued*

Studies suggest that virtually all supervisees withhold information from their supervisors.

This is due to

- ✦ A desire to appear competent
- ✦ Negative reactions to supervisors
- ✦ Concern with the evaluative component

(Farber, 2006)

Interactional Model: Middle

Phase *continued*

Supervisors and supervisees must decide how much they are willing to reveal to each other... “the quality of the dyadic relationship is likely to suffer in the absence of a reasonable degree of disclosure.”

(Farber, p.180, 2006)

Interactional Model: Middle Phase *continued*



The management and use of affect (emotion, feeling) involves

- ✦ The ability to name or identify it
- ✦ The ability to contain it
- ✦ The ability to understand a given emotion and relate it to what is occurring in the therapy

(Jacobs, David, Meyer, 1995)



Interactional Model: Middle Phase *continued*

Containing affect enables the supervisee to be consciously receptive without being reactive... it encourages curiosity.

(Jacobs, David & Meyer, 1995)

Interactional Model: Middle

Phase *continued*

Sometimes what we call resistance is ambivalence...

Supervisors can deepen the work phase by addressing ambivalence to change.

Interactional Model:

Termination and Transition

4. Ending/Termination and Transition

The supervisor prepares the supervisee to end the relationship and make a transition to new experiences.

(Shulman, 1994; Workshop Notes from Shulman, CSWE, 1999; Cohen, 2004)

Interactional Model:

Termination Phase *continued*

Common situations requiring termination

- ✦ Ending an open-ended supervisory relationship by mutual agreement;
- ✦ Ending an open-ended relationship for unanticipated reasons (leaving the agency, moving to a different program or service);
- ✦ Transfer to another supervisor (due to excessive caseload, incompatible relationship, etc.).

Interactional Model:

Termination Phase *continued*

- If a termination is planned, the supervisor must
 - ✦ Call attention to the ending;
 - ✦ Identify the common dynamics and themes seen in termination as they emerge;
 - ✦ Be honest about the ending and express feelings;
 - ✦ Assist staff in reaching for feelings about the loss of a colleague;
 - ✦ Structure an evaluation or exit interview.

Interactional Model:

Termination Phase *continued*

If the supervisory relationship has been difficult, a discussion of the reasons why the supervisor and supervisee had difficulty should be explored.



Supervisory Focus

- ✦ Client Centered
- ✦ Therapist Centered
- ✦ Process Centered



Supervisory Relationship Dynamics

In clinical supervisory practice where process (vs. content) is emphasized, supervisors/supervisees may encounter unconscious material

- ✦ Transference
- ✦ Countertransference
- ✦ Induced countertransference
- ✦ Parallel process



Parallel Process

Problems between a supervisor and supervisee may mirror problems the supervisee is having with clients.

Possible examples:

- ✦ Supervisee feels overwhelmed and stuck with a client and then presents in supervision in a similar way
- ✦ Supervisee feels bored by client material, presents in supervision in a monotone voice, little affect



Parallel Process *continued*

Parallel process refers to the simultaneous emergence of similar emotional difficulties in the relationship between

- ✚ The supervisee and the client
- ✚ The supervisee and the supervisor



Parallel Process *continued*

Emotions generated in one are acted out in the other in an unconscious effort to have the supervisor understand what is happening in the supervisee/client relationship.

Typically they involve concerns about authority and dependency.

(Sachs & Shapiro, 1976; Williams, 1997;
Grey & Fiscalini, 1987)



Supervisory Liability

Supervisors are responsible for

- ✦ Their own actions (direct liability)
- ✦ The actions of their supervisees (vicarious liability)



The Law and Ethical Standards: Supervisory Liability

Simmons v. United States
805 F.2d 1363 (9th Cir. 1986)
United States Court of Appeals



Simmons v. United States

The Facts

- ✦ During a 7 year counseling relationship on a Native American reservation, a social worker encouraged his client, Ms. Simmons, to act on her transference feelings for him.
- ✦ Believing that it was part of her treatment, Ms. Simmons had a sexual relationship with the social worker during the last two years of her therapy.
- ✦ She suffered increased anxiety and depression and several years later, attempted suicide.

Simmons v. United States

continued

- ✦ During the course of the therapy, the tribal chairperson of the reservation knew of the sexual relationship and expressed concern to the social worker's supervisor.
- ✦ At the time of hospitalization, the treating psychiatrist informed Ms. Simmons that the therapist's mishandling of the transference was inappropriate and damaging.
- ✦ The supervisor made no attempt to intervene or take any action against the social worker.

Simmons v. United States

continued

The court determined that

- ✦ The supervisor had actual knowledge (from the tribal chairwoman), or, at the very least, reason to suspect that something inappropriate was taking place.
- ✦ Because he failed to act, the supervisor was liable for negligent supervision that contributed to the injuries suffered by Ms. Simmons. The court found him liable for malpractice.



Simmons v. United States

continued

Importance of the ruling

The court did not care why the supervisor did not act on the information that was given to him by the tribal chairwoman. As a supervisor it was his responsibility to oversee the counseling relationship between the supervisee and the client. He should have known what was taking place; *ignorance is never a viable defense.*

(Bray, 2000, in Falvey, 2002)



Investigating Possible Violations: Supervisory Responsibilities

As soon as you become aware of a potential violation, investigate!

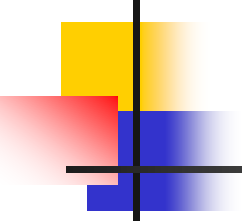
- ✦ Confront your supervisee about the allegation and document his/her response;
- ✦ Place the “critical incident” report in your supervisee’s file pending resolution;
- ✦ Question the client or other party who reported the violation;
- ✦ Consult with your supervisor/administrator regarding appropriate actions;

Investigating Possible Violations: Supervisory Responsibilities

continued

- ✦ Closely monitor your supervisee's cases;
- ✦ Address your supervisee's possible attraction to clients regularly in supervision;
- ✦ Report the alleged incident to his/her employer for further investigation;
- ✦ Report the alleged incident to the state licensing board or ethics committee;
- ✦ Document all actions and your reasons for them.

(Ellis, 1991; Richard & Rodway, 1992 in Falvey, 2002)



Records are your # 1 risk management tool and your first line of defense.



Record Keeping for Supervisors

To minimize liability, supervisors should document supervisory activity

- ✦ In client records (if you have a student)
- ✦ In separate supervisory records



Record Keeping for Supervisors *continued*

Supervisory records should reflect

- ✦ A brief statement of supervisee experience, training and current needs;
- ✦ A brief summary of the most recent performance evaluation;
- ✦ An identification of the goals for on-going work;



Record Keeping for Supervisors *continued*

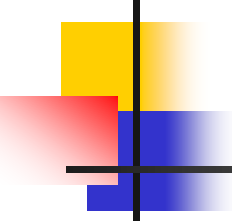
- ✦ Client consent to supervision;
- ✦ Documentation of the supervisory session, date of contact;
- ✦ Identification of cancelled sessions;
- ✦ Notification of which cases were discussed and the decisions made;



Record Keeping for Supervisors *continued*

- ✦ Identification of issues encountered in the supervisory process and outcomes;
- ✦ Delineation of supervisor/supervisee responsibilities.

(Falvey & Cohen, 2003; Falvey, 2002; Munson, 2002; NASW, 1994)



Record Keeping for Supervisors: Student Interns

If you supervise a student intern, documentation should be kept

- ✦ Identifying an individualized learning plan/contract for the student;
- ✦ In client files, indicating that the client has been notified of student status;



Record Keeping for Supervisors: Student Interns *continued*

- ✦ In the client file, indicating that the client has been informed of who the supervisor is and how to contact her/him;
- ✦ In the client file, indicating that the case was discussed in supervision.

(Falvey, 2002; Munson, 2002)



Guidelines for Effective Supervision

Effective supervision is

- ✦ Structured
- ✦ Regular
- ✦ Consistent
- ✦ Case Oriented (as opposed to person oriented)
- ✦ Evaluated

(Munson, 1993, p. 12-13)



Structuring Supervision

Some suggestions

- ✦ Ask supervisee what she/he needs from session;
- ✦ Ask questions to stimulate thinking;
- ✦ Focus first on success;
- ✦ Use different teaching methods;
- ✦ Ask how supervision went;
- ✦ Document the session.

(Campbell, 2006)



Supervisory Questions

1. What do you like about the client?
2. What do you think the client likes about you?
3. How much of yourself do you see in the client?
4. What do you feel when you are with the client?
5. What would you like to do with these feelings?



Supervisory Questions *continued*

6. What is the theoretical basis for what you have said about the client?
7. What led to the use of the techniques you used in the session?
8. What was the focus of the session? What were the themes?
9. What worries you about this case?
10. What are you going to do next?

(Adapted from Munson, 1993)

Supervisory Questioning

Techniques *continued*

Always balance questions with support, understanding and humor. Supervision is most effective when the following can be discussed freely:

- ✚ Client information;
- ✚ Details of the interaction (what was said between the supervisee and the client);
- ✚ What the supervisee felt.



Supervisory Self-Reflection

- ✦ What do I think and feel when I am with the supervisee?
- ✦ What do I hear my supervisee trying to say?
- ✦ What effect has my response had on my supervisee?
- ✦ What personal needs do I have that influence, block or direct the supervisory process?

Supervisory Self-Reflection

continued

Examples of personal needs affecting supervision include

- ✦ Need to control
- ✦ Need for recognition
- ✦ Need to be right
- ✦ Need for approval
- ✦ Need to protect
- ✦ Need for power
- ✦ Need to be liked

(Borders & Leddick, 1987)



Evaluation and Wrap-Up

Thank You for Coming!

Pat O'Dell

76 Broadway, Suite 200F

Denville, NJ 07834

(973) 625-8829

patriciaodell@verizon.net