

# Clinical Supervision Resources: Supervision Contracts and Goal Plans

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21st Annual Social Work  
Conference

The Changing Landscape of  
Social Work Practice

March 3, 2023

And Now For  
Something  
Completely  
Different....





# Agenda

1. The why's – why is it important to develop a contract for supervision
  2. The how's – what to include in a contract
  3. Navigation - (management vs. supervision)
  4. Feedback - Important things about giving and/ or receiving feedback
- This workshop will focus specifically on the use of contracts and goal plans in clinical supervision. Topics addressed will include various components of supervision contracts, establishing supervision goals and development plans, and how such resources can guide and strengthen the benefits of social work supervision.
  - We plan to review and discuss supervision contracts, including different components of the contract, key details to identify and establish in various categories, the benefits of collaboratively developing contracts and goals to guide supervision, including in settings where agencies might not require them, and aspects of formulating development plans and supervision goals.

## Learning Objectives:

1. Participants will be able to identify at least two components of supervision contracts.

2. Participants will be able develop learning goals for development programs

# Benefits of Using Supervision Agreements

## External Supervision

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Clarifies roles, expectations, responsibilities, contracted services between supervisor and supervisee/agency

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Specifies what will occur and how supervision will impact the supervisee (employment, licensure/credentialing, etc.)

## Internal Supervision

- We both already work here-why have a **contract**?
- Adds focus, intent
- Specifies clinical supervision focus, scope, & tasks
- Deliberate emphasis on clinical processes
- Contracting on agreement and learning plans models, reflects similar approaches supervisees take with clients

# Contracts



# Why Use Contracts?

**Adds Intent, Focus, Structure and Models Case Management & Treatment Planning**

**Helps Formalizes the Process**

**Promotes Learning and Professional Development**

**Ensures Client Treatment Goals are Addressed During Supervision**

**Must be Ethically and Legally Responsible**

**Should Adhere to Agency Philosophy**

**Addresses Individual Learning Needs**

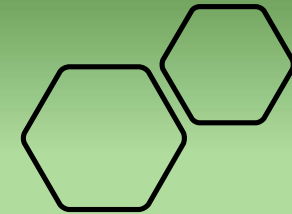
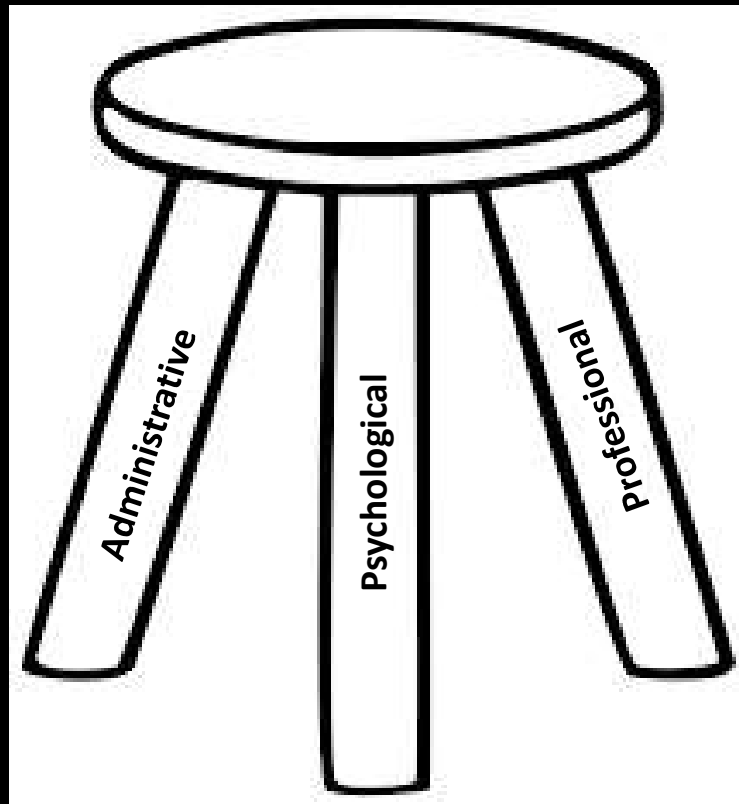


First Things  
First

## **Upon Entering a Supervisory Relationship:**

- **Assure it is a Trusting Working Relationship**
- **Use Person-Centered Approach**
- **Be Culturally Responsive and**
- **Ethically and Legally Responsible**

## Elements of a Contract



Morrison used a stool to illustrate the elements of a Supervision Contract:

- Administrative
- Psychological
- Professional

Morrison, T. (2005). Supervision in Social Care: Making a real difference for staff and service users

# Administrative Practical Information:

Frequency

Location

Documentation of  
Supervision

Documentation  
Storage

How to  
Reschedule/Cancel  
Supervision

Review Dates

# Psychological Supervisor & Supervisee Should Discuss:

How is Feedback  
Given

Personal Warning  
Signs of  
Stress/Anxiety

Outcome Goals of  
Supervisor/  
Supervisee from  
Supervision

Define What  
Successful  
Supervision Looks  
Like

# Professional Purpose, Focus, & Principles of Supervision:

Accountability

Confidentiality -  
Including Limits

How to Address  
Concerns: Practice,  
Supervisory  
Relationship

What to Do if  
Disputes Occur



# KEY COMPONENTS OF A CONTRACT



**KEY  
COMPONENTS**

1. Clear Supervisory  
Expectations

2. Set Goals/Learning  
plan/Goal Plan

3. Format and  
Schedule

4. Terms & Duration  
(When/Where/How)

5. Responsibilities  
(Supervisor &  
Supervisee)

6. Compensation

7. Evaluation &  
Schedule of  
Evaluation

8. Documentation

# 1. Clear Supervisory Expectations

A contract must be clear in the expectations and Rights and Responsibilities of both the supervisor and supervisee

- To be prepared to discuss client cases....
- Uphold ethical guidelines and standards...





## 2. Learning Plan/Goals

Requirements for  
LCSW

To fulfill  
requirements for  
training - EMDR,  
DBT, Play Therapy.....

# The Supervision Contract

Think “Treatment Plan” or “Learning Plan”

## Things to Address in Contract

- Logistics: who, what, when, why, how, length of time
- Cost
  - DO NOT cheat yourself! Know the going rates in your community.
- Expectations

## Goal Setting

- Think S.M.A.R.T.  
(Specific. Measurable/Meaningful. Attainable. Realistic/Relevant. Timely)
- Suggestion: Have Supervisee Provide their Official Job Description - This will assist in setting appropriate goals

### 3. Format and Schedule

- Where the supervisor will be held
  - While it may not be a specific location, it should spell out information about confidentiality, privacy, individual or group and online/ in person,



## 4. Terms and Duration (When, Where and How)

The contract should specify:

Supervisor's definition of supervision (clearly provide your definition to promote shared meaning)

Effective Dates

Frequency of Meetings

Duration of supervision session

Type of Supervision (Group, Individual or a combination of both)

# 5. Supervisor: Rights & Responsibilities

## Supervisor Rights

- To bring concerns/issues about Supervisee's work.
- To question Supervisee about his/her work and workload.
- To give Supervisee constructive feedback on his/her work performance.
- To observe Supervisee's practice and to initiate supportive / corrective action as required.

## Supervisor Responsibilities

- To uphold ethical guidelines and professional standards
- To make sure supervision sessions happen as agreed and to keep a record of the meeting
- To create a supervision file containing supervision records and other documents relating to development and training
- To ensure that Supervisee is clear about his/her role and responsibilities
- To record the supervision session and to store their copy in the supervision file
- To monitor Supervisee's performance
- To set standards and assess the Supervisee against these
- To know what Supervisee is doing and how it is being done
- To deal with problems as they impact on the Supervisee's performance
- To support supervisee and the agreed personal development plan
- To complete all forms as requested by the state and/or agency

(<http://cswmft.ohio.gov/pdfs/SupvLog.pdf>)

# 5. Supervisee: Rights & Responsibilities

## **Supervisee Rights:**

- To uninterrupted time in a private venue
- To Supervisor's attention, ideas and guidance
- To receive feedback
- To set part of the agenda
- To ask questions
- To expect Supervisor to carry out agreed action or provide an appropriate explanation, within an agreed time frame
- To have his/her development/training needs met
- To challenge ideas and guidance in a constructive way

## **Supervisee Responsibilities:**

- To uphold ethical guidelines and professional standards
- To be prepared to discuss client cases with the aid of written case notes and / or video / audio tapes
- To validate diagnoses, interventions, approaches and techniques used
- To be open to change and use alternate methods of practice if required
- To consult supervisor or designated contact person in cases of emergency
- Implement supervisor directives in subsequent sessions
- Maintain a commitment to on-going counsellor education and the counselling profession.

<http://cswmft.ohio.gov/pdfs/SupvLog.pdf>)

## 6. Compensation

Should compensation be expected, it should be part of the contract:

Hourly rate for supervision: \_\_\_\_\_ to be paid by: \_\_\_\_\_

Malpractice/ liability insurance will be arranged by supervisee: Yes \_\_\_\_\_ No \_\_\_\_\_ (If yes, proof of such must be provided as soon as possible.)

## 7. Evaluation & Schedule of Evaluation

“This contract is subject to revision at any time, upon the request of either the supervisee or the supervisor.

A formal review, however, will be conducted every six months and revisions to the contract will be made only with consent of the supervisee and approval of supervisor.”

- Gather feedback from supervisee



## Eliciting & Integrating Feedback from Supervisee. Evaluation & Schedule of Evaluation

- Dr. Scott Miller (and others)
- Client-Directed, Outcome-Informed; Feedback Informed Treatment (FIT)
- Important to consistently elicit feedback from the client and integrating that feedback into services and adapting services based on the feedback
- ✓ ORS-Outcome Rating Scale (How you doing? Is therapy helping?)
- ✓ SRS-Session Rating Scale (How are we doing?)
- ✓ Can make a part of clinical supervision to strengthen, improve alliance and quality of supervision and model doing so for supervisees with their clients
- ✓ Important to know how best to administer the scale (how, when, how often, etc.) and how best to interpret and process with supervisee. Can require additional training to know how to use, code scales and interpret them

*Please place a mark on the lines to indicate how you feel about your supervision session.*

**(Approach)**

This supervision session was not focused.

|-----|

This supervision session was focused.

**(Relationship)**

My supervisor and I did not understand each other in this session.

|-----|

My supervisor and I understood each other in this session.

**(Meeting My Needs)**

This supervision session was not helpful to me.

|-----|

This supervision session was helpful to me.

International Center for Clinical Excellence

Source: [www.scottdmiller.com](http://www.scottdmiller.com)

© Wainwright, N. A. (2010). *The development of the Leeds Alliance in Supervision Scale (LASS): A brief sessional measure of the supervisory alliance*. Unpublished Doctoral Thesis, University of Leeds, England, UK.

**Supervisory working alliance inventory (SWAI) – Supervisee** (Efstation, Patton, & Kardash, 1990)

The SWAI is designed to measure the working alliance in supervision from both a supervisor and supervisee perspective. Higher scores are generally indicative of alliances that are more effective. The SWAI can be used as an ongoing repeated measure of the SWA.

Instructions: Indicate the frequency with which the behaviour described in each of the following items seems characteristic of your work with your supervisor (or how you would like to work with a supervisee). Estimate the frequency of occurrence within supervision on the seven-point scale from almost never to almost always

Scale:	<b>1</b> almost never	<b>2</b> rarely	<b>3</b> occasionally	<b>4</b> sometimes	<b>5</b> often	<b>6</b> very often	<b>7</b> almost always
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Rapport	Circle most relevant						
1. I feel comfortable working with my supervisor.	1	2	3	4	5	6	7
2. My supervisor welcomes my explanations about the clients' behaviour.	1	2	3	4	5	6	7
3. My supervisor makes the effort to understand me.	1	2	3	4	5	6	7
4. My supervisor encourages me to talk about my work with clients in ways that are comfortable for me.	1	2	3	4	5	6	7
5. My supervisor is tactful when commenting about my performance.	1	2	3	4	5	6	7
6. My supervisor encourages me to formulate my own interventions with the client.	1	2	3	4	5	6	7
7. My supervisor helps me talk freely in our sessions.	1	2	3	4	5	6	7
8. My supervisor stays in tune with me during supervisions.	1	2	3	4	5	6	7

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Client focus	Circle most relevant						
1. I help my supervisee work within a specific treatment plan with his/her consumer.	1	2	3	4	5	6	7
2. I help my supervisee stay on track during our meetings.	1	2	3	4	5	6	7
3. My style is to carefully and systematically consider the material that my supervisee brings to supervision.	1	2	3	4	5	6	7
4. My supervisee works with me on specific goals in the supervisory session.	1	2	3	4	5	6	7
5. In supervision, I expect my supervisee to think about or reflect on my comments to him/her.	1	2	3	4	5	6	7
6. I teach my supervisee through direct suggestion.	1	2	3	4	5	6	7
7. In supervision, I place a high priority on our understanding the clients' perspective.	1	2	3	4	5	6	7
8. I encourage my supervisee to take time to understand what the client is saying and doing.	1	2	3	4	5	6	7
9. When correcting my supervisee's errors with a client, I offer alternate ways of intervening with that client.	1	2	3	4	5	6	7

## 8. Documentation



The contact should address documentation of supervision



“A supervisory record form will be used to document impressions of each supervisory session. Feedback will be provided at the close of each session. Supervision notes may be shared with supervisee...”



We suggest the supervisee be given a copy of the record at the end of each session...

## **SUPERVISION CONTRACT (suggested template)**

This is an agreement between \_\_\_\_\_ (Supervisee) and \_\_\_\_\_ (Supervisor).

The purpose of supervision is to: (e.g., meet requirements for training supervision) \_\_\_\_\_

Effective Dates: \_\_\_\_\_; Frequency of Meetings: \_\_\_\_\_; Duration of supervision session: \_\_\_\_\_

Type of Supervision: \_\_\_ Group; \_\_\_ Individual; \_\_\_ combination of both

Supervisor's definition of supervision: \_\_\_\_\_ *(clearly provide your definition to promote shared meaning)* \_\_\_\_\_

### **1. Purpose, Goals And Objectives Of Supervision:**

- a. To fulfill requirements for training supervision;
- b. To promote development of supervisee's professional identity and competence;
- c. To (Other) **AS AGREED UPON BY SUPERVISOR AND SUPERVISEE**

### **2. Context And Content Of Supervision:**

1. The content of supervision will focus on the acquisition of knowledge, conceptualization, and skills within the defined scope of practice.
2. The context will ensure understanding of ethics, codes, rules, regulations, standards, guidelines (including consent, confidentiality/ privacy), and all relevant legislation.

3. A **supervisory record form** will be used to document impressions of each supervisory session. Feedback will be provided at the close of each session. Supervision notes may be shared with supervisee.

### **4. Rights and Responsibilities of both parties**

#### **a. Supervisor Rights**

1. To bring concerns/issues about Supervisee's work.
2. To question Supervisee about his/her work and workload.
3. To give Supervisee constructive feedback on his/her work performance.
4. To observe Supervisee's practice and to initiate supportive / corrective action as required.

#### **b. Supervisor Responsibilities**

1. To uphold ethical guidelines and professional standards.
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5. To record the supervision session and to store their copy in the supervision file.
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7. To set standards and assess the Supervisee against these.
8. To know what Supervisee is doing and how it is being done.
9. To deal with problems as they impact on the Supervisee's performance.
10. To support supervisee and the agreed personal development plan.
11. To complete all forms as requested by the State of Ohio Counselor, Social Worker, and Marriage and Family Therapist Board including a professional disclosure statement of supervisor and supervision logs (<http://cswmft.ohio.gov/pdfs/SupvLog.pdf>).

#### **c. Supervisee Rights:**

1. To uninterrupted time in a private venue.
2. To Supervisor's attention, ideas and guidance.
3. To receive feedback.
4. To set part of the agenda.
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4. To be open to change and use alternate methods of practice if required;
5. To consult supervisor or designated contact person in cases of emergency;
6. Implement supervisor directives in subsequent sessions; and
7. Maintain a commitment to on-going counsellor education and the counselling profession.

### **3. Procedural considerations:**

- a. Supervisee's written cases notes (plus diagnoses and treatment plans) and audio / video tapes may be reviewed in each session;
- b. Issues relating to supervisee's professional development will be discussed;
- c. Sessions will be used to discuss issues of conflict and failure of either party to abide by the guidelines outlined in this contract. If concerns of either party are not resolved in supervision, (**NAME OF ALTERNATE PERSON TO WHOM TO MAKE GRIEVANCE TO**) will be consulted; and
- d. In event of an emergency, supervisee to contact supervisor. If not available, then contact (**NAME / CONTACT DETAILS OF APPROPRIATE PERSON**).

### **4. Supervisor's Scope Of Practice - Brief description of Supervisor's work, qualifications and practice**

### **5. Finances/ Insurance**

Agreement as to hourly rate for supervision: \_\_\_\_\_ to be paid by: \_\_\_\_\_

Malpractice/ liability insurance will be arranged by supervisee: Yes \_\_\_\_\_ No \_\_\_\_\_  
(If yes, proof of such must be provided as soon as possible.)

Date proof provided, with copy to supervisor \_\_\_\_\_

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**We agree, to the best of our ability, to uphold the guidelines specified in this supervision contract and to manage the supervisory relationship and supervisory process according to the ethical principles of the CCAA Inc.**

\_\_\_\_\_  
Supervisor

\_\_\_\_\_  
Supervisee

This contract is in effect from **DATE** \_\_\_\_\_ Date of revision or termination: **DATE** \_\_\_\_\_

[https://www.naadac.org/assets/2416/supervision\\_contract\\_template.pdf](https://www.naadac.org/assets/2416/supervision_contract_template.pdf)

# Sample Contract

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- Format & Duration
- Purpose/Goals
- Documentation
- Responsibilities & Expectations
- Evaluation
- Compensation

# Challenges

## Agency Issues

- Differentiating Between Evaluation Types
  - **Formative** (growth and development) and
  - **Summative** (job performance/annual review)
    - These can be competing
- Buy In
  - Speak to your agency about making an organizational commitment to providing good supervision as well as continuing professional development opportunities throughout workers' careers

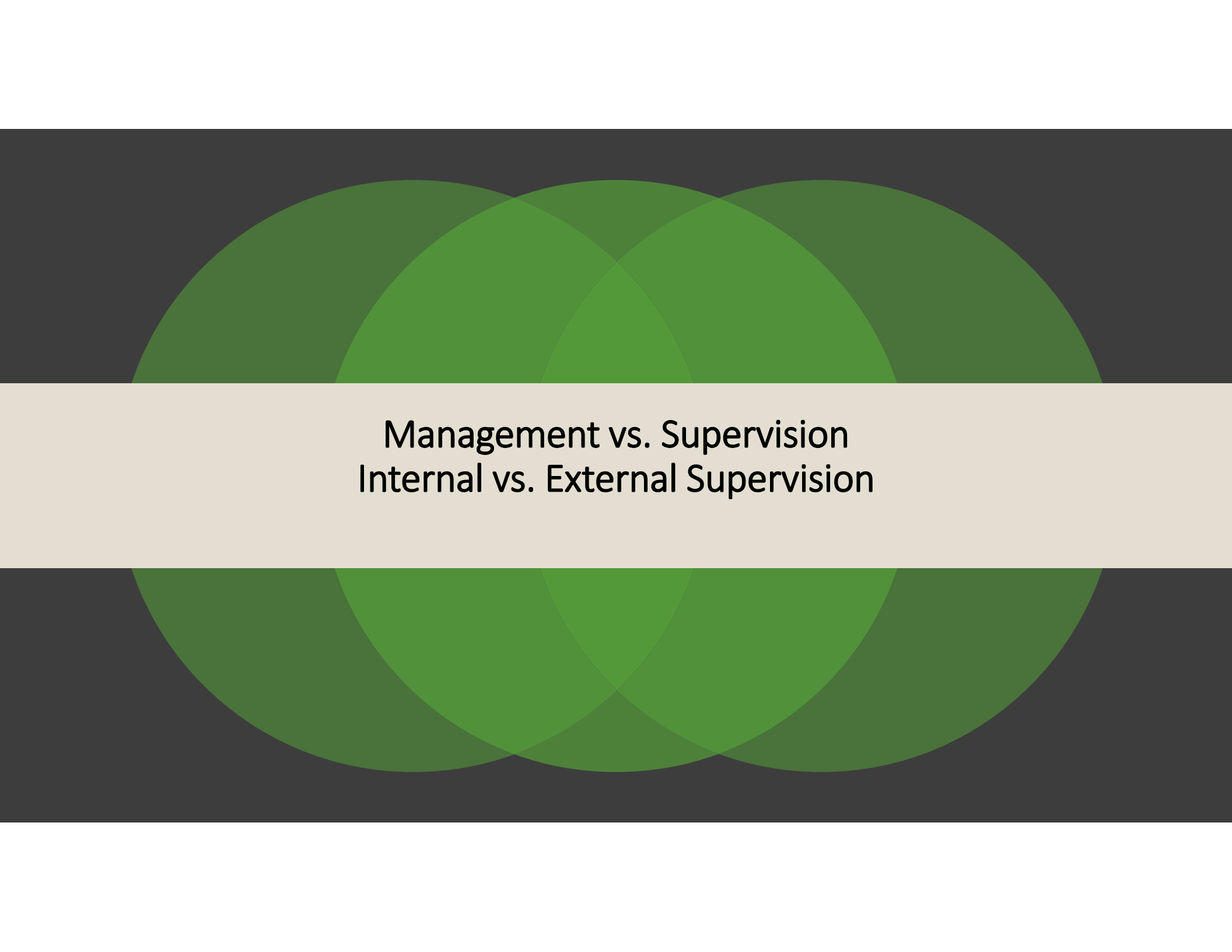
## Making Time

- Advocate for supervision and it's importance
  - i.e. reducing supervisor case loads, increasing pay and title, etc.

# Final Thoughts About Contracts

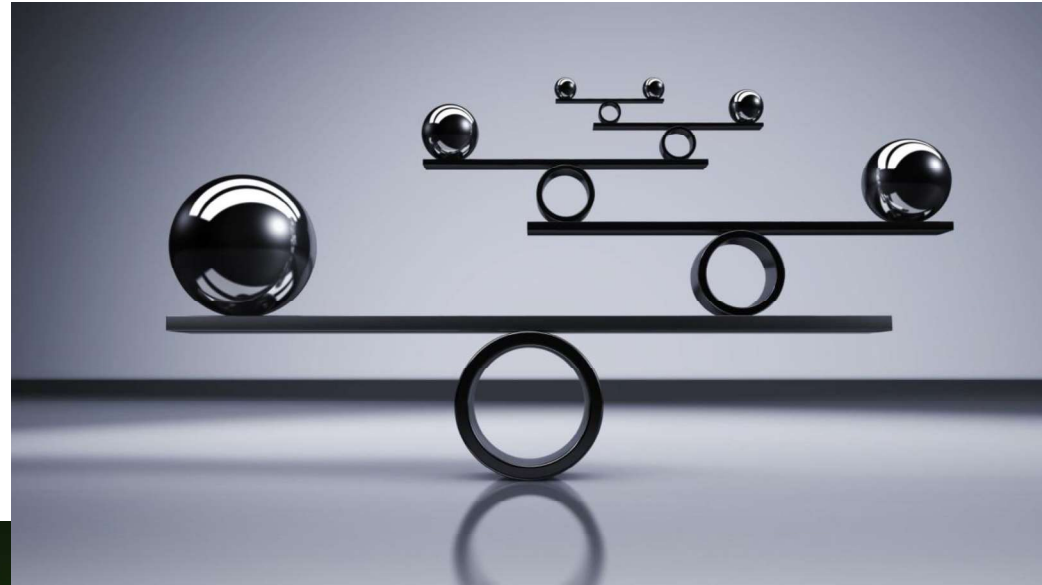
- Anticipate some level of conflict
- Feedback should be regular and ongoing
- Implement tools to document hours, contracts, and goals
- Use an array of skills
  - i.e. Case Conceptualizations, Self-Awareness
- Advocate for yourself!
  - Speak up for what you need (supervisors and supervisees)
- Evaluate the effectiveness of supervision, just like you would in practice
- Ethics, Ethics, Ethics
  - Just as in practice – Consult and Document, Regardless of the Outcome, Justify your Actions.

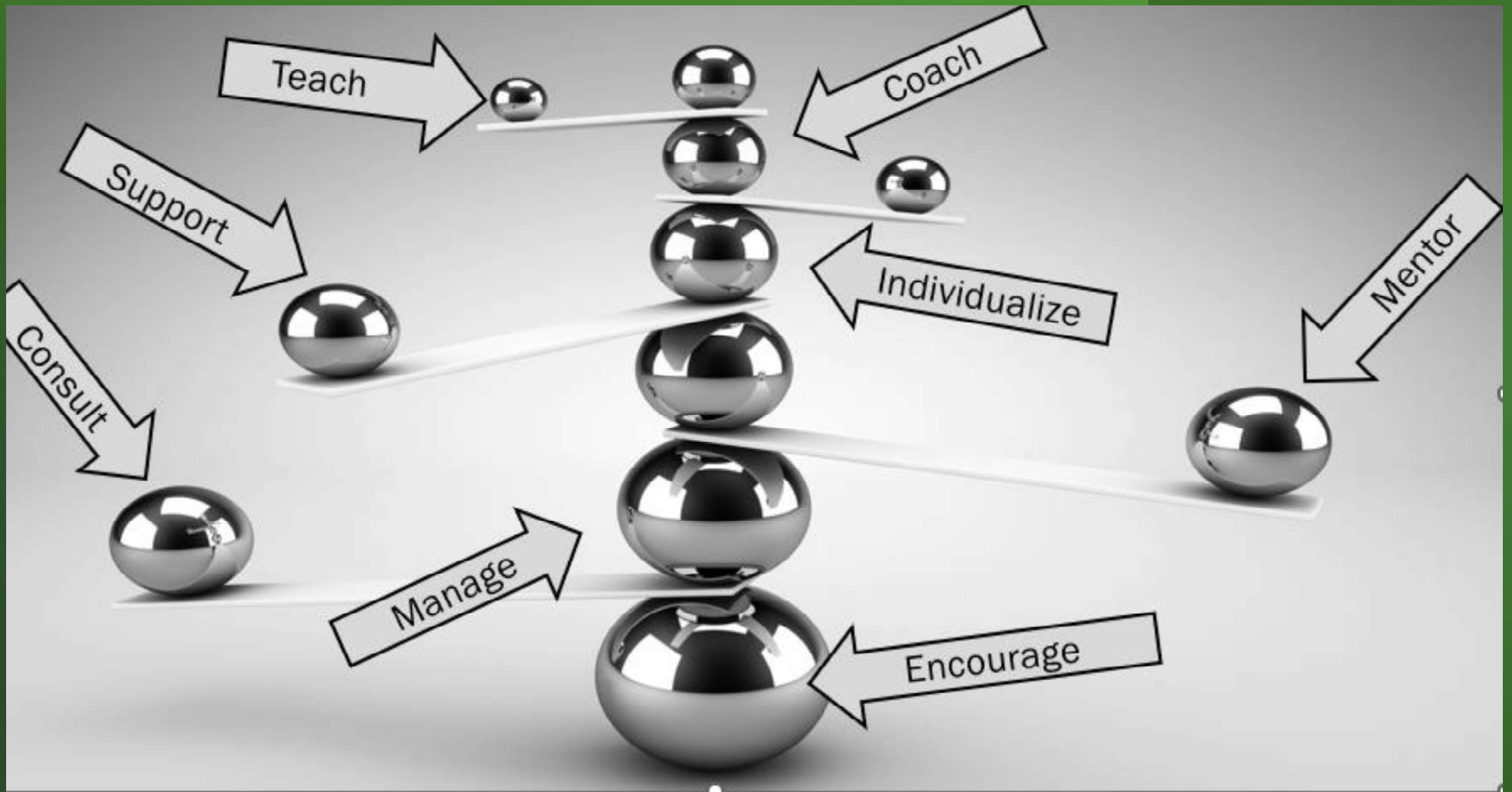




Management vs. Supervision  
Internal vs. External Supervision

# Clinical Supervision: A Constant Balance





# MANAGEMENT vs. SUPERVISION



## MANAGEMENT

Directing/Controlling Assets

- Planning
- Budgeting
- Structure
- Staffing
- Performance Monitor
- Problem-Solver
- Formal/Titled

## SUPERVISION

- Overseeing the Work of Others
- Training
- Answering Questions
- Quality Assurance
- Coaching
- Formal/Titled

# Terms

Management

Supervision

administrative

communication

resource allocation

problems solved

relationship

respect

strategic planning

Organized

leadership

effective stewardship

detail-oriented

understanding

budget oversight

systems-focused

direction

trust

anticipating future needs

processes

information

support

policies

motivation

Holmes, et al., 2021

# Roles

## Manager

- Activities  
Assigning Tasks
- Performance  
Responsible for Evaluation
- Middleman  
Mediator between Upper Administration & Employees

## Supervisor

- Teacher: Development, Professional Growth
- Coach: Support, Model, Cheerleader
- Consultant: Monitor, Counsel, Assess, Professional Gatekeeper
- Mentor: Role Model, Train the Next Generation of Supervisors

# MANAGEMENT vs. SUPERVISION: QUESTIONS

- Are the goals the same?
  - Not always – they can be conflicting
- Can employee growth be targeted while managing performance?
- Can the same person fulfill both roles successfully?





# **MANAGEMENT VS. SUPERVISION**

**Managerial & Supervisory Goals  
Can Conflict.**

**Should External Supervision be Explored?**



# External Supervision Positives

- Best “For Building Capacity, Resilience and Confidential Reflective Space” (Rankine, 2019)
- Provides a Safer Space for Supervisees
- Provides More Objectivity
- Can Avoid Conflicting Demands of an Internal Supervisor as Manager and Supervisor
- Does not involve the power dynamics of an organization (Beddoe, 2012)
- External supervisors provide more constructive criticism and carry out more confrontation when necessary (Itzhaky, 2001) and
- Possess more ex-pert-based authority and less formal authority

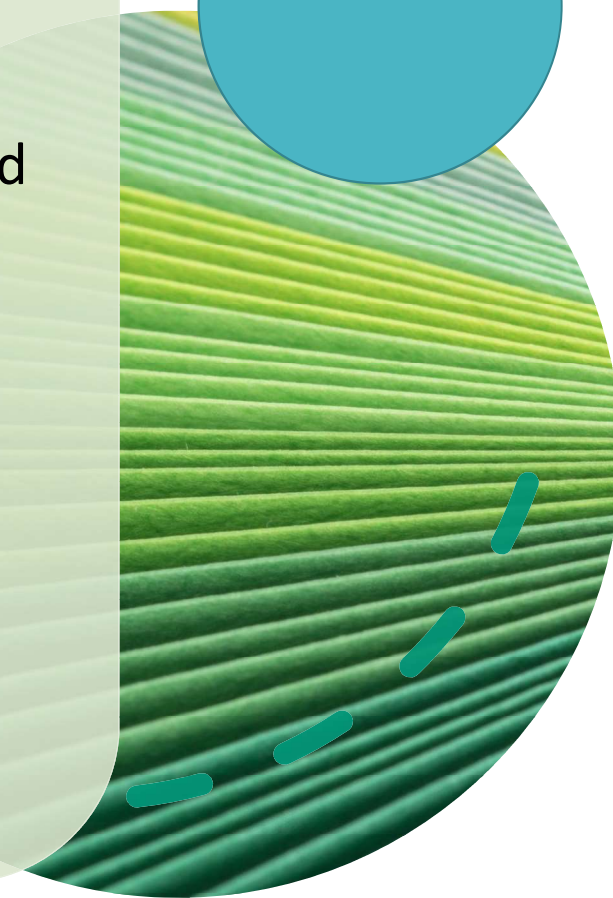
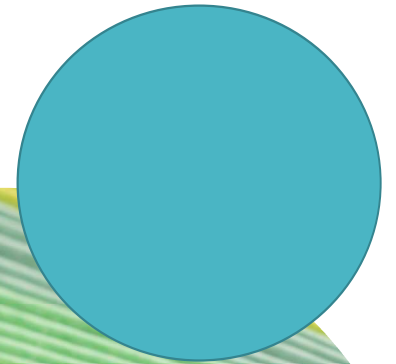


# External Supervision Concerns

&


# Questions

- Privatizing supervision poses risks (Beddoe, 2012)
- The growing “risk” is conceptualization of practitioners’ wellbeing – a need to focus on self-care
- Is external supervision available? (Rankine, 2019)
- Do we have the resources to provide external supervision?
- Can we use other techniques to separate these roles?



Conclusion:  
whichever  
way you go,  
you MUST  
have...

### Clear Expectations

- For the supervisor and supervisee
- i.e. establishing a supervision contract! 

### Distinct Differentiations

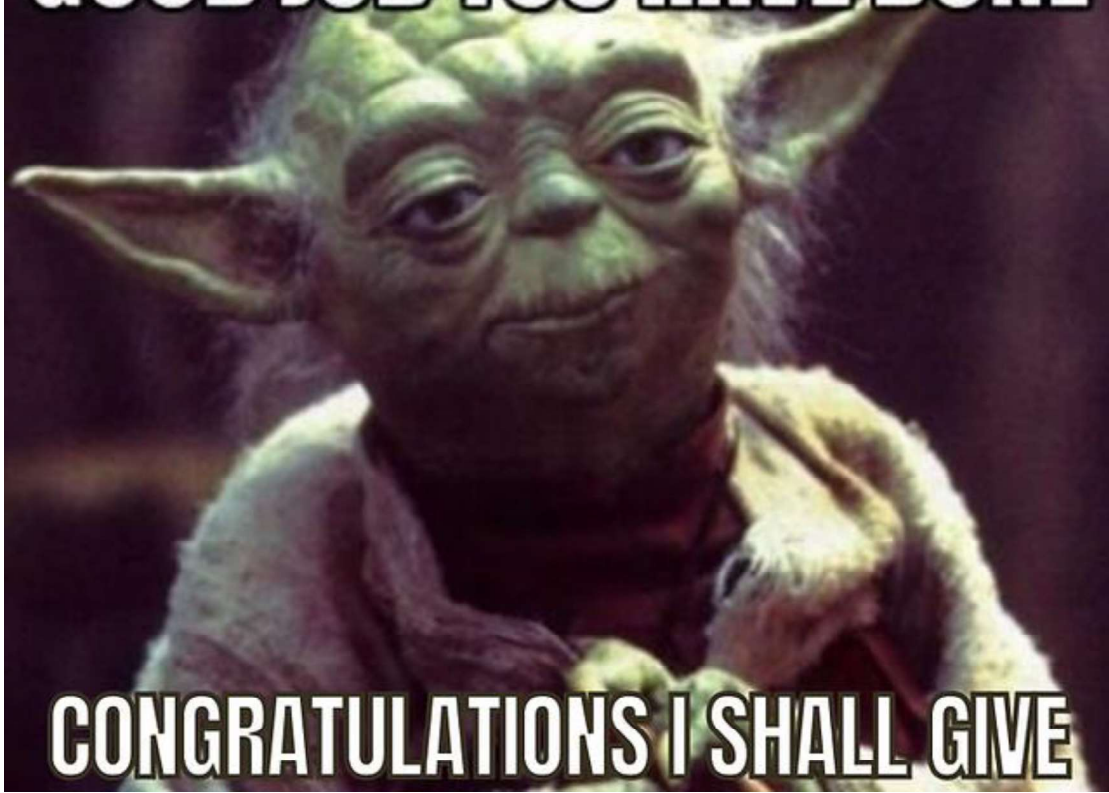
- Clear and defined roles
- Who, what, when, where, how
- “What hat do I have on today,” “during this hour,” “in this meeting”



Feedback:  
Giving and Receiving



**GOOD JOB YOU HAVE DONE**



**CONGRATULATIONS I SHALL GIVE**

# Self-Report Supervision

**Supervisor: How Did Your Session Go?**

**Supervisee:**

**Actual Footage from the Session**





## Self-Report Supervision: War Stories

- “There I was-conducting an emergency assessment on a psychotic borderline holding scissors against their throat while standing next to an open pit filled with rattlesnakes...”



Self-Report  
Supervision: The Sage

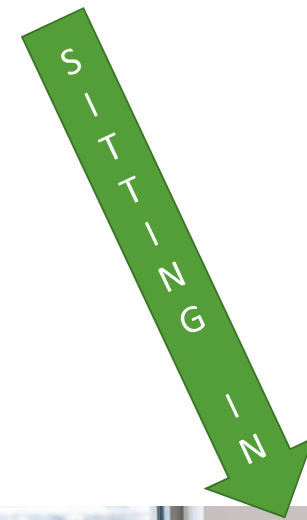


# Learning Plans, Observation, and Feedback

- Feedback is very important
- Even more important is learning how to effectively *give* and *receive* feedback
- Coaching, **corrective feedback** as opposed to *positive* and *negative* feedback
- Positive feedback, while nice, is not often very helpful-especially when it is very general
- Negative feedback rarely leads to the improvement that we predict it will



# Best Practices: Recording or Sitting in



# Praise Sandwich



Specify something discrete that the person did that they did well (descriptive, specific, action-oriented)



Provide recommendations, suggestion for what might be changed, done differently (descriptive, specific, action-oriented)



Specify something discrete that the person did that they did well (descriptive, specific, action-oriented)



## Aspects of Effectively Receiving Feedback

- People often get defensive to corrective feedback because they see it as a character attack or global criticism of their performance/competency
  - Don't react to feedback that seems (or is) negative and critical as a character attack
  - Don't automatically assume that the feedback is accurate or correct
  - You are always free to take feedback or to not
  - Be open to feedback, even when it might not be flattering or complimentary
- Feedback helps us to change, grow, & improve
  - Thank people for their observations
  - Evaluate whether the feedback seems accurate or useful and act accordingly
  - Just listen, say thank you, think about, and decide what all to take in, etc.
  - Do not explain or defend yourself
  - Focus on behavior not the personal – it is NOT personal!

# Thank you

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# Contract Examples/Resources

- <https://drsharman.com/wp-content/uploads/2010/07/ClinicalSupervision.pdf>
- <https://wilbornclinicalservices.com/wp-content/uploads/2018/08/ClinicalSupervisionSupervisionContract.pdf>
- <https://bhdp.sccgov.org/sites/g/files/exjcpb716/files/Supervision%20Contract%2008.pdf>
- [https://www.clinicalsupervisor.org/uploads/7/2/8/1/72814039/supervision\\_contract.pdf](https://www.clinicalsupervisor.org/uploads/7/2/8/1/72814039/supervision_contract.pdf)
- [https://www.naadac.org/assets/2416/supervision\\_contract\\_template.pdf](https://www.naadac.org/assets/2416/supervision_contract_template.pdf)
- Guidelines for Supervision
  - <https://www.institutebestpractices.org/wp-content/uploads/2021/04/17d.-Supervisory-Tools-from-TIP-52.pdf>