

SOCIAL SERVICES & WELLBEING DIRECTORATE

STAFF SUPERVISION POLICY & PRACTICE GUIDELINES SOCIAL SERVICES AND WELLBEING WORKFORCE DIRECT CARE SERVICES



Review date: TBA
Revised 2nd December 2022

Contents

Section	Title	Page
1	Introduction Our Commitment to Supervision Definition	3-4
2	Scope of the Framework The Aims of Supervision - Outcomes The Principles Underpinning Supervision Morrison's 4x4x4 Model of Supervision.	5-6
3	Types of Supervision and Related Activity One to One Group Supervision Joint Supervision Observed Practice Unplanned / Informal Supervision Supervision Agreements Frequency Who will Your Supervisor Be? Recording Confidentiality and Access to Supervision Records Cancellation Areas of Complaints or Disagreement Storage of Records	7-8 9-11
4	Responsibilities in Supervision Responsibilities of the Supervisor Responsibilities of the Supervisee Shared Responsibilities Breakdown of supervisory relationship	11- 12
5	Quality Assurance, Monitoring, and Review	12
6	Training for Effective Supervision	13
Appendix 1	Morrison's 4x4x4 Model of Supervision	
Appendix 2	Supervision Practice Guidance	
Appendix 3	Supervision Agreement	
Appendix 4a	Record of Supervision - ACM	
Appendix 4b	Record of Supervision- Direct Care	
Appendix 5	Record of Case Supervision (WCCIS)	
Appendix 6	Record of Group Supervision	
Appendix 7	Reflective Log	
Appendix 8a	Supervisee Self Annual Evaluation	
Appendix 8b	Supervisor Self Annual Evaluation	

1. Introduction

The purpose of this policy and practice guidance is to provide clarity for all Directorate staff regarding supervision. This includes permanent, full-time, part-time, casual and agency staff. For allied professional staff in integrated health and social care teams and multi-disciplinary teams, supervision will be in conjunction with and parallel to any clinical or professional supervisory requirements of each profession.

It will set out clear expectations to ensure that all staff within the Directorate are aware of their responsibilities in relation to delivering and actively participating in high quality, timely and reflective personal and professional supervision that balances individual well-being and effective oversight of practice with the overall aim of improving outcomes for those whom we support.

There is a separate policy for the Social Services and Wellbeing workforce located in other services.

This includes sharing a consistent approach to assessment, care and support planning, and service delivery for children, adults, carers and families, in line with legislative frameworks, whilst allowing for different models of practice across the directorate.

There is a significant link between quality supervision and improving the outcomes of individuals, children, carers, and families with whom we work.

In line with the ethos of the Social Services and Well-Being (Wales) Act 2014, supporting well-being, prioritising safety, and promoting independence and choice is at the heart of the work undertaken in partnership with children, adults, families, and carers. This work can only be effective and safe when supported by regular, quality supervision by those qualified and trained to do so.



While supervision is an ongoing process appraisal consists of an annual meeting between a member of staff and their line manager during which several objectives will have been agreed. Progress should be monitored during supervision.

Our Commitment to Supervision – We will:

- Provide good quality, regular supervision to all staff working within the Social Services and Well-being directorate.
- Ensure supervision effectively balances delivering care and support, practice, and staff well-being and development in a way that encourages critical reflection.
- Ensure that all supervisors and supervisees have the necessary skills to engage in effective supervision to a consistent standard and will provide training as appropriate.
- Audit the effectiveness of supervision to ensure standards are met and take action where we fall short.
- Keep outcomes at the heart of what we do – by monitoring, reviewing, and evaluating progress towards achieving them through supervision.
- Be responsive to the changing needs of individuals and families whilst recognising our responsibility for safeguarding.
- Value the importance of choice in people's lives and will seek to promote this wherever possible.
- Value the importance of independence in people's lives and provide support in an enabling way as possible through person centred care.
- Value the contribution made by staff and promote and support personal and professional development.

Definitions

A broad definition of supervision states that:

"Supervision is a process by which one worker is given responsibility by the organisation to work with another worker in order to meet certain organisational, professional and personal objectives which together promote the best outcomes for those who use care and support services". (adapted from Morrison, T. (2005)

A focus on practice through reflection is important.

"Where the supervisor is "curious" and asks questions designed to assist the supervisee to think around the case but from a different perspective, this can be enormously helpful. The exploration of personal and professional values is also an essential aspect of reflective practice." From *Effective supervision*, [Hilary Lawson](#) Updated: 3 April 2017 Publication Date: 21 April 2011

A focus on the wellbeing of the worker is vital:

"Quality supervision must acknowledge the emotional impact of the work and be a place where the supervisee undergoes a regular "health check". Supervisees have often expressed the relief and appreciation of a genuine "and how are you?" from their supervisors which is offered as an acknowledgement of the challenges of the work and an invitation to talk through how the person beneath the professional is bearing up." From *Effective supervision*, [Hilary Lawson](#) Updated: 3 April 2017

2. Scope of the Framework

The Aims of Supervision

Supervision:

- Ensures staff know what is expected of them.
- Ensures staff actively contribute to the organisations outcomes by undertaking their responsibilities and duties effectively and efficiently.
- Promotes and supports professional development.
- Promotes equality and values diversity.
- Ensures effective management oversight and gives assurances that risks are being effectively managed.
- Should encourage critical reflection and analysis whilst offering guidance and promoting a learning culture.
- Should enhance staff confidence in analysis, decision making and reflective practice.
- Provides an opportunity for celebrating good practice, offering constructive feedback, and addressing areas for development.
- Should ensure caseloads and workloads are manageable, to safeguard the wellbeing of the supervisee, so that children, families, adults, and carers receive a good quality of service to meet their identified outcomes
- Address any concerns regarding health and safety.
- Reassures the supervisor that the supervisee is practising safely and in accordance with legal and practice frameworks.

Critically, for the maintenance of a healthy workforce Carpenter et al., 2013 stated:

“effective supervision is associated with job satisfaction, commitment to the organisation and retention, helps reduce staff turnover, and is significantly linked to employees’ perceptions of organisational support.”

The Principles Underpinning Supervision

- Supervision should be focussed on achieving positive outcomes for children, families, adults, and carers.
- All supervision will meet good practice guidance and be to a consistent standard, offering staff a safe and supportive space to explore, reflect and develop their practice.
- Supervision is prioritised and valued as imperative to the maintenance of a healthy and effective workforce.
- The Directorate is committed to the supervisory process and sees the quality of supervision as having a direct bearing on the quality of services and outcomes for individuals.

- Effective supervision is a two-way process. Supervisors should adopt an active reflector approach to supervision and the supervisee should not merely be a passive recipient.
- Supervision has an essential role in the effective management of staff performance and practice and is a primary means by which staff are supported to evidence accountable practice.
- Regular, planned, and competent supervision is both a right and a requirement for all members of staff working for the Directorate regardless of role or grade.
- Supervision is an authority relationship in which the dynamics of power and the recognition of difference are crucial. The good practice guidelines set out in this document value people and acknowledge and work with difference. In this way, issues relating to anti-discriminatory practice and equal opportunities should become integral to good practice.

[The Code of Professional Practice for Social Care Workers](#) tells social care workers:

“You must be accountable for the quality of your work and take responsibility for maintaining and developing knowledge and skills” and tells managers they must provide “supervision and appraisal to support and motivate staff to meet their role, responsibilities and accountabilities”.

[The Code of Practice for Social Care Employers](#) states that employers must:

“Have effective arrangements for management and supervision of workers to promote best practice and good conduct and support workers to improve their performance. This includes making sure that workers are fit to practice.”

The Regulations state:

“Staff receive supervision in their role to help them reflect on their practice and to make sure their professional competence is maintained. This includes feedback about their performance from individuals using the service”.

Parts 3 to 20 of The Regulated Services (Service Providers and Responsible Individuals) (Wales) Regulations 2017, as amended. Reg 36.

The Supervision Model

This policy is based on the 4x4x4 model of supervision developed by Tony Morrison, which defines four functions of supervision:

The managerial and accountability function	the quality and quantity of our work
The developmental and learning function	how we can improve our practice
The supportive function	attending to our wellbeing
The advocacy/mediation function	our relationship with the organisation

For more details about each of the functions and what they include, see Appendix 1.

3. Types of Supervision and Related Activity

One to One

The standard model of supervision, which will apply to most staff in the Directorate, is that of one-to-one, with a supervisor and supervisee following an agenda for personal supervision and practice reflection/discussion. This must take place quarterly at a minimum. (Reg 36).

Within supervision staff members' ongoing understanding of relevant procedures, codes of practice, and relevant guidance must be tested through supervision. (This could also be tested within Group Supervision – see below).

Also, learning and development has a key role in effective practice and professional progression. The Code of Professional Practice says that practitioners should be “...*undertaking relevant learning and development to maintain and improve your knowledge and skills to ensure you are fit to practise, and contributing to the learning and development of others*” (6.9) This will identify learning and development needs that may be addressed by formal training, E-learning, or directed personal research and reading.

This process is supported by **annual appraisal**, which whilst a separate process is also integral to supervision as neither can be fully effective in the absence of the other. To make appraisal a live and meaningful experience, there is an expectation that actions identified are reviewed in supervision every three months.

Group Supervision

Group supervision involves the use of a group setting to enable members to reflect on their work. By pooling skills, experience and knowledge, the aim of the session is to improve the skills and capability of both individuals and the group.

Group supervision:

- Encourages open and professional attitudes to learning
- Uses the various abilities within the group
- Offers a range of perspectives and skills to individuals
- Supports the concept of collective practice and service delivery
- Reflects the group approach of residential and day care services
- Focuses on direct work with users and carers

Group supervision is not:

- ***a Team Meeting (concerned with team business).***
- ***to be used as a substitute for one-one supervision***

The principles outlined in this policy can be adapted for group supervision, Action Learning Sets, or peer mentoring as opportunities for colleagues to meet to share experiences, knowledge, and skills.

Group supervision will be necessary in some settings and can be used to support maximum learning and development alongside ensuring service quality. A record of the group session should be kept by the facilitator and individual supervisees should complete a 'reflective log' following the group session (*see Appendix 7*)

The following link offers additional guidance on [group supervision](#). (Managers and team leaders should have activated their Community Care Inform licence in order to see this document)

Joint co-worker supervision

Joint supervision may provide an opportunity to have discussions with other team members who co-work with individuals to ensure clarity of roles and responsibilities and monitor progress outside of formal review mechanisms.

Observed practice.

In some direct care settings, the nature of the environment where people live or gather will often result in supervisors making observations of the practice of their supervisees. These are adhoc and **unplanned**, and if any issues of concern need to be raised, or staff should be praised, they can be referred to in a formal one-one session, or more immediately if necessary.

These unplanned observations are not to be confused with **planned and formal observations of practice** to establish competency. This is a specific, pre-planned activity following specific guidelines where the observer is trained in assessing competency. This is not supervision.

Unplanned Supervision / Informal Supervision

Due to the complex nature of social care work, there will always be occasions where formal discussions regarding guidance and support cannot wait and take place outside of a formal supervision setting. It is important that these conversations are still viewed as supervisory activity and that any case discussions or decision making is clearly recorded in individuals' files held in the service or registered office.

These informal/unplanned discussions should not be a substitute for formal supervision and where possible, supervisees should be encouraged to reflect on the issue and more in-depth discussions can take place in formal supervision if appropriate.

Supervision Agreements

- There should be a signed agreement between each supervisee and each supervisor taking part in one-to-one supervision using the model agreement – see *Appendix 3*
- The supervision agreement forms the basis of the supervision sessions, and should cover record keeping, confidentiality, expectations, frequency and duration of sessions, circumstances under which supervision can be cancelled, and timescales for rearranging cancelled supervision.
- Establishing a supervision agreement between supervisor and supervisee will also help make expectations and responsibilities clear. This is important for ensuring a positive and supportive working relationship is established from the start and maintained.

Frequency

- The standard for the frequency of supervision may vary in different settings, and for different staff groups, also considering complexity of work, and the experience of staff, but must be defined and agreed between managers of services, supervisors, and supervisees.
- For staff subject to RISCA (Care Home Services/Domiciliary Support Services /Secure Accommodation Service and Residential Family Centres) Regulation 36 states that - Staff meet for one-to-one supervision with their line manager or equivalent officer, or a more senior member of staff, **no less than quarterly**.

Who Will Your Supervisor Be?

- * All staff will have a named supervisor with whom they will have an explicit arrangement regarding their supervision reflected in a supervision agreement.
- * Supervision will usually be provided by the line manager, or another person with suitable status, relevant training, and experience.
- * Supervisors of staff offering professional supervision will be registered in the same profession.

Recording

- * In Direct Care services the expectation is that the supervisor should record the one-one session using the template in *Appendix 4b*. Both parties should sign the form, and any disagreements can be highlighted.
- * This form can be used flexibly and may not cover all aspects in every session, depending on priorities.
- * Where group supervision occurs, notes of the session must be taken and circulated to attendees see *Appendix 6*. Following group supervision, supervisees should complete a personal reflective log – see *Appendix 7*

Confidentiality and Access to Supervision Records

- * Supervision is a private but not confidential process, though details of any personal issues contained within the record will only be potentially available within the line management structure (and can be redacted in respect of audit or inspection activity).
- * Supervision agreements, records and evaluation forms may all be read by the supervisor's line manager and other appropriate stakeholders as required e.g., where there is a change of manager, audit/quality assurance/inspection staff, the coroner, serious case review investigations, Social Care Wales, and the Disclosure and Barring Service, where there may be concerns regarding conduct and registration. They may also be used as evidence to evaluate supervisees' progress at appraisal or in the event of capability, resolution (or grievance) or disciplinary procedures.
- * The supervisor has the responsibility to share information that arises in supervision if:
 - the supervisee's works breaches agreed standards of practice – in this case, supervision records could be used in a discussion about training and development needs or when dealing with capability or disciplinary or resolution procedures. (Refer to HR policy and procedures).
 - the supervisee's behaviour gives rise for concern – the supervisor might need to refer to the line manager or Human Resources.
 - the supervisee's physical or emotional health requires referral to a medical or staff care professional.

Equally supervisees have a responsibility to discuss any concerns with their supervisor's manager if they cannot be resolved together. These will include concerns such as:

- ✓ The supervisor not adhering to the supervision agreement.
- ✓ Concerns about the quality of supervision offered.
- ✓ Concerns about the supervisor's standards of practice.
- ✓ Concerns about the supervisor's attitude and behaviour.

Where a supervisee does not feel able to raise concerns with a supervisor's line manager, he/she should contact the line manager's own line manager or another senior manager.

Cancellation

One to one supervision is a critical component of safe and effective practice and should be prioritised with cancellation only happening in exceptional circumstances. If cancellation must happen it should be rearranged consistent with regulatory requirements at the earliest opportunity within the compliance window and should not automatically wait until the following month.

Areas Of Complaint and Disagreement

- * If there are any disagreements between the supervisor and supervisee about what goes in the record, these should be noted. The supervisee may complete a copy and send it to the supervisor within two working days. Both should provide signatures.
- * Once both signatures have been included, a copy should be retained by both parties

Storage Of Records

- The supervision record remains the property of the Directorate. Both the supervisor and the supervisee are responsible for the safe storage of these records.
- Supervision records for staff within Children's Social Care are stored within the supervisory records within each service location.
- Supervision records for staff within Adult Social Care should be stored within the personal staff files stored in the service location.

4. Responsibilities in Supervision

Responsibilities of the Supervisor

- * Modelling a positive attitude to supervision, listening attentively and actively.
- * Creating an open and 'learning' environment in supervision.
- * Ensure that supervision is held in a private place, free of interruptions.
- * Use a strengths-based approach to support the supervisee to analyse any presenting problems, clarifying and summarising both the content and the perceptions of the issues under discussion
- * Celebrate and acknowledge good practice.
- * If there are concerns about professional competence or behaviour of the supervisee address these early, giving specific and concrete examples of these concerns.
- * Promoting anti-discriminatory practice and behaviour and challenging unconscious bias.
- * Ensure that supervision does not become just a checklist, encouraging creative approaches to the discussion of work issues.
- * Identify training and development needs and the need to consolidate practice.
- * Assist with generating solutions and realistic action plans.

Responsibilities of the Supervisee

- * Accepting the requirement to be supervised and accountable.
- * Actively and honestly participate.
- * Maintain a competent standard of practice, seeking help and guidance to do so where required.

- * Express opinions, disagree where appropriate to learn from mistakes and be honest if unsure of what to do.
- * Make the supervisor aware of ~~your own~~ or her own work and development needs.
- * Be open to feedback both about good practice and areas of concern.
- * Be open to challenge about anti-discriminatory practice or areas of bias in relationships with individuals or colleagues.
- * Engage in exploring options, finding solutions and making realistic action plans.
- * Make any disagreements with the record of supervision known.
- * Be honest where practice or performance is affected by personal circumstances or workload demands. Seeking health and wellbeing support should be considered.

Shared Responsibilities in Supervision

- * Prioritising supervision and attending on time.
- * Abiding by the supervision agreement.
- * Having an agreed joint agenda and participating fully
- * Clarifying and agreeing standards of practice based on professional and Directorate guidelines
- * To support anti-oppressive practice.
- * Identifying evidence that will demonstrate competent practice
- * Developing action plans and timescales
- * At all times, it is expected that both parties approach supervision in line with the requirements of the Code of Prof Practice.

Breakdown Of the Supervision Relationship

- Both parties should work to establish a respectful, trusting, purposeful and effective relationship within supervision. If the supervision relationship breaks down and the problem cannot be resolved by the supervisor and supervisee, the supervisor's line manager should advise and consider solutions or alternative options and take appropriate action. The supervisee may approach the line manager's own line manager if appropriate.

5. Quality Assurance, Monitoring & Review

Operational Managers of a service have a responsibility

- * To be familiar with and follow the supervision policy and guidelines.
- * To ensure that supervisors and supervisees are fulfilling their responsibilities and that the desired outcomes are being achieved.
- * That supervision within their team is taking place in line with expected guidance and is of a high standard, contributing to achieving positive outcomes.

The Directorate Management Team (Heads of Service, Deputy Heads of Service and Group Managers, R.I's) have a responsibility

- * To monitor and evaluate the standard of the supervisory process across their service area, ensuring that it is taking place regularly and meets the requirements

of delivering a consistent and quality service that safeguards those that are vulnerable and promotes the attainment of personal well-being outcomes.

- * Prioritising supervision and demonstrating their own commitment as required.
- * For undertaking or supporting audit activity that monitors and review the effectiveness of supervision across their service area.

Quality Assurance Process re Supervision in BCBC Direct Care

Quarterly QA processes are in place that monitors compliance with supervision. To be further developed.

6. Training for Effective Supervision

All staff who have a responsibility to supervise staff can expect to receive appropriate training to support them in their role.

The present focus is upon managers and supervisors and training plans re supervisees will be considered at the next policy review at part of the policy review.

Training is mandatory, with a refresher required every three years.