

NORTH LINCOLNSHIRE COUNCIL

**ADULT SERVICES
CABINET MEMBER**

ADULT SOCIAL SERVICES SUPERVISION POLICY

1. OBJECT AND KEY POINTS IN THIS REPORT

- 1.1 Adult Service developed a Workforce Strategy which was launched last year, one of the actions was to develop a supervision policy
- 1.2 Staff have been involved in developing this policy
- 1.3 The policy states all Adult Staff regardless of role has a right to Supervision, defines supervision and its aims.
- 1.4 To seek cabinet member endorsement of the policy for implementation.

2. BACKGROUND INFORMATION

- 2.1 The workforce strategy outlines the plans Adult Social Services has for the next five years in supporting the transformation agenda and ensuring we have a confident, enabled and well-equipped adult social care workforce-transforming services in the way the Government set out in *Putting People First*.
- 2.2 Adult Social Services have been working to a supervision policy written for Children's Social Work. The Workforce strategy identified that having a dedicated Adult Supervision policy, which make it clear that all staff should have formal supervision, was preferable.
- 2.3 This policy has also been written with the help of staff and addresses the need identified in the strategy and links to the councils *Going Forward Together* and *Valuing People Together*.
- 2.4 The policy defines supervision as, a regular one to one meeting between the 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. It underpins the Induction programme (for newly appointed workers) and is the foundation on which appraisal is built.

- 2.5 The policy states the aims of Supervision are to
- To ensure staff know what is expected of them
 - To ensure staff carry out their duties effectively and efficiently
 - To ensure good practice and to challenge and manage poor practice
 - To ensure that health and well-being at work issues are addressed
 - To assist in the continuous professional development (CPD) of staff
 - To ensure that staff operate in an anti-discriminatory way, and in line with the staff code of conduct. (Policy attached as Appendix)

3. OPTIONS FOR CONSIDERATION

- 3.1 Endorse the policy and support the implementation.
- 3.2 Reject the policy

4. ANALYSIS OF OPTIONS

- 4.1 The policy is fundamental to managing people and managing performance. The policy highlights the need for ALL staff to receive supervision. Supervision is a right as it includes an opportunity to consider the staff health and well-being as well as their performance and work load.
- 4.2 Without the policy there is no dedicated supervision policy for Adult Services that gives all staff the opportunity for time to consider their workload balance and receive direction and support to do their job.

5. RESOURCE IMPLICATIONS (FINANCIAL, STAFFING, PROPERTY, IT)

- 5.1 Financial implications – Supervision is a resources management tool, whilst difficult to quantify there are savings associated with providing good quality supervision linked to attendance management. There are no additional costs associated with the implementation of this policy.
- 5.2 Staffing implications – providing supervision to staff is built into all posts involving line management.
- 5.3 Property implications – There are no property implications
- 5.4 IT implications – There are no IT implications

6. OTHER IMPLICATIONS (STATUTORY, ENVIRONMENTAL, DIVERSITY, SECTION 17 - CRIME AND DISORDER, RISK AND OTHER)

- 6.1 Statutory implications - None
- 6.2 Environmental implications - None

- 6.3 Diversity implications - Diversity Impact Assessment completed
- 6.4 Section 17 – Crime and Disorder implications - None
- 6.5 Risk and other implications - None

7. **OUTCOMES OF CONSULTATION**

- 7.1 Staff have been involved in the workforce strategy since 2009 to develop the recommendations. The working groups surveyed staff within adult services to obtain wider feedback and input into the strategy. A further workshop with staff has been held to develop and agree the action plan. The consultations with staff have directly fed into the development of the strategy and action plan.
- 7.2 The Listening and Learning Group have actively been involved in the development of this policy.
- 7.3 During October and November Adult Services Senior management team hold a series of locality based road shows that update staff on our service priorities, during these road shows staff were encouraged to share their views on the 'what successful supervision looks like' these views helped shape this policy.
- 7.4 Service and development managers have also been involved and recently agreed the tool kit that goes with this policy.
- 7.5 The development of the policy has been discussed at the adults JCC,

8. **RECOMMENDATIONS**

- 8.1 That cabinet member endorses the policy for implementation.

DIRECTOR OF ADULT SOCIAL SERVICES

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Background Papers used in the preparation of this report
Workforce Strategy 2010



Adult Social Services
Supervision Policy 2011

Adult Social Services

Workforce Planning & Development Version Control Document

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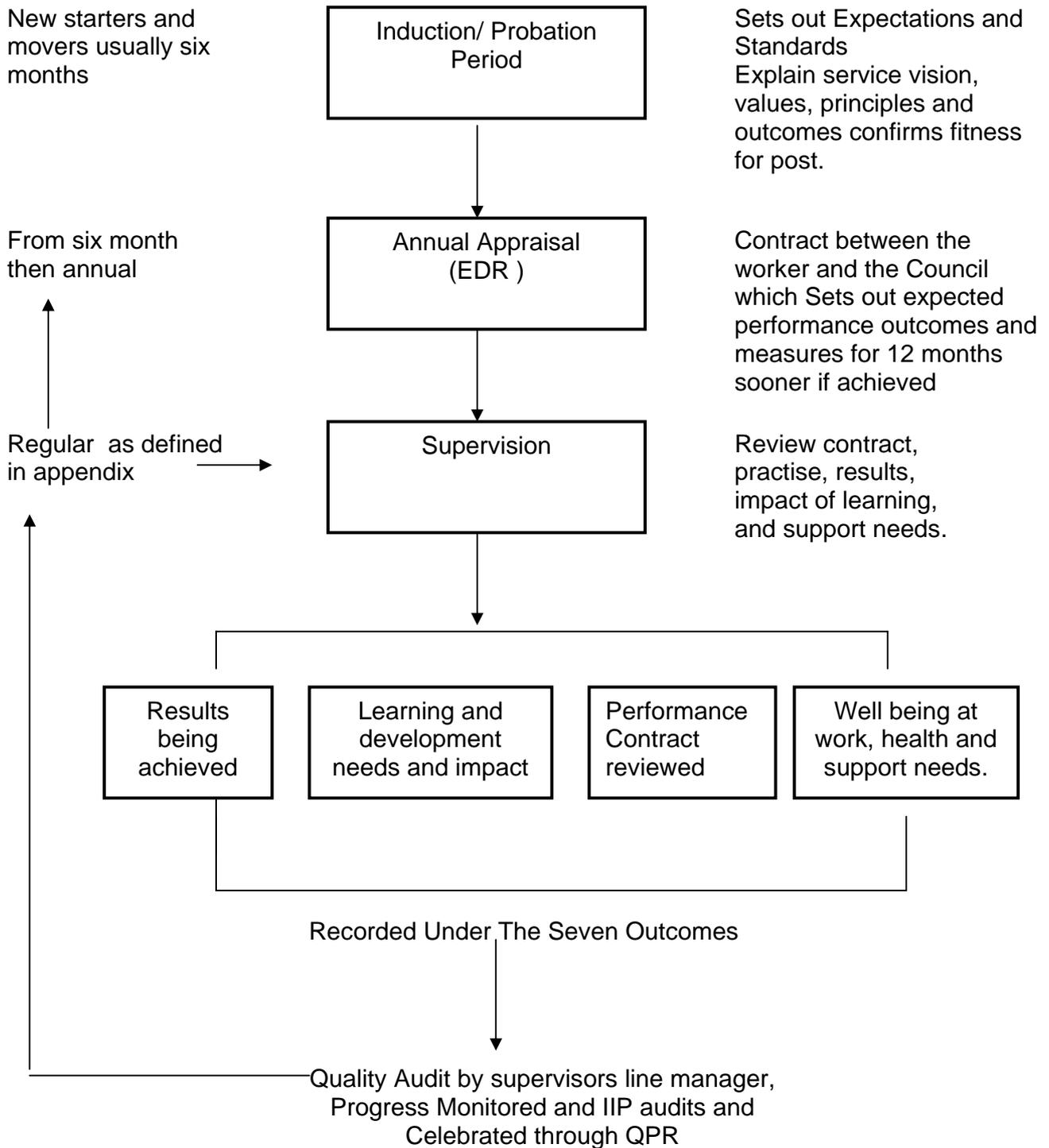
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Section 1

1. Supervision Policy and Operational Guidance Notes

1.1. Statement of Purpose

This policy will provide a framework for the one to one supervision of all staff working in Adult Social Services. This includes staff working in settings such as Social Work Personalisation Teams, business and operational support, Long Term Condition, Prevention, Commissioning and Provider services, and all staff whether on a temporary (including agency staff), permanent, full time or part time basis.

This policy sets out how staff can expect to be supervised and provides managers with the key elements needed to supervise staff effectively.

1.2. The aims of supervision are

To ensure staff know what is expected of them
To ensure staff carry out their duties effectively and efficiently
To ensure good practice and to challenge and manage poor practice
To ensure that health and well-being at work issues are addressed
To assist in the continuous professional development (CPD) of staff
To ensure that staff operate in an anti-discriminatory way, and in line with the staff code of conduct.

1.3. Definition of supervision

Supervision is a regular one to one meeting between the 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. It underpins the Induction programme (for newly appointed workers) and is the foundation on which appraisal is built. (See separate guidelines on Employee Development Review)

1.4 Performance Contract

During induction all employees should develop a contract with their line manager that agrees how they want the relationship to function, it should cover what results/ outcomes the employee should deliver into the organisation, what process are important to comply with and detail expectations of their relationship and behavior. This will be reviewed at all supervisions and formally reviewed and agreed at the annual appraisal (EDR) (see appendix example)

1.5. Supervision agreements

Arrangements for personal and individual supervision with the line manager should be subject to a written Individual Supervision Agreement (see Appendix 2) and each formal session must be recorded in an appropriate format (see Appendix 3)

1.6. Formal and Informal or 'ad hoc' supervision

'Formal' supervision will be recognised by regular, planned, private, one to one meetings, on an on going basis between a member of staff and the same line manager. Even when supervisees and supervisors work closely together, it does not eliminate the need for private one to one time together on a regular basis. The focus of these sessions is wholly on the individual, their performance, their development, and any issues arising from their work that do not arise on a day-to-day basis.

It is a normal to expect that there may be discussions and decisions about daily work issues, problems arising, or changes in policies and procedures that emerge in group meetings, and unplanned or 'ad-hoc' discussions. However, when decisions have been made in between formal supervision sessions, the worker must make sure that any decision made with regard to a service user are clearly recorded on the service user's file.

1.7. Minimum frequencies

The frequency of formal supervision is detailed in appendix 1 for each service area, and should be regarded as a minimum. It is expected that formal supervision will be provided at a greater frequency wherever possible, and will also occur informally when needed. The actual frequency for individuals should be agreed between the supervisor and supervisee when negotiating the terms of the Individual Supervision Agreement (see Appendix 2) and any permanent deviation from the recommended frequency should be agreed and recorded in the Individual Supervision Agreement. Part time staff should receive supervision on a pro-rata basis – for a example a social worker working half time would receive supervision every two months instead of monthly.

1.8. Roles and responsibilities of the Line Managers

Line managers must ensure that formal supervision takes place for all staff for whom they have managerial responsibility.

Supervision must be conducted in accordance with this policy and guidance.

Line managers must undertake to address the three functions of supervision: Education, Administration and Support (Kadushin 1992). When decisions are made in supervision in relation to specific service-users, the manager must ensure these decisions are recorded on the service-users file.

All line managers will keep a record of supervision sessions for their staff in line with service requirements and where applicable, the National minimum Standards.

1.9. Roles and responsibilities of the Employees

It is the responsibility of employees to attend supervision sessions with their line manager. They should use these sessions positively to discuss their work and development, and to implement agreed actions.

It is the employee's responsibility to prepare prior to each supervision session, and bring information relevant to the set targets and expectations, in order for a two-way discussion to take place. If the employee does not have supervision they should ask their line manager to set dates and failing that should discuss with a senior manager.

1.10. Role and responsibility of Workforce Planning and Development

The Workforce Planning and Development service will run courses on supervision of staff for managers, focusing on the skills required, and in line with National Occupational Standards for managers in social care. They also run annual IIP audits to ensure supervision takes place. The workforce governing body and Listening and Learning group take this into Adult Social Services performance review.

1.11. Individual Supervision Agreements

On first appointment, and at any subsequent change of line manager, an Individual Supervision Agreement should be written and signed by both parties. See appendix 2 for a pro forma example. This document will ensure that the worker has read and understood the related Supervision, Induction and EDR policies and guidelines, and will set out the mutual expectations, roles, rights and responsibilities of the supervision relationship.

1.12. Reviewing the agreement

The supervisor and the supervisee should review the Individual Supervision Agreement at least annually.

1.13. Disputes

Disagreements should be initially dealt with by discussion between the supervisor and employee, or by reference to the supervisor's line manager if necessary. Any further dispute not dealt with in this way should be addressed within the usual Capability or Disciplinary procedures, or through the Employee Mediation or Complaints processes.

1.14. Recording

The recording of supervision sessions is the responsibility of the supervisor and should be completed within the staff outcomes framework. The detail included is a matter of judgement but in general the record should be detailed enough so that the issue can be revisited, if necessary, at a later date and still be understood. A short summary of the discussion and the decisions or action points arising from it should be sufficient in most cases.

National Minimum Standard says what ?

Where possible, records should be typed. If the supervisor is unable to type them personally, they should be passed to a member of admin support, but this should be with the agreement of the supervisee, should form part of the individual supervision Agreement, and the actual content negotiated if issues of a very personal or confidential nature are discussed.

Records should clearly detail any decisions that have been made, the reasons for these, any agreed actions including who will take responsibility and the timescale for carrying out these actions. The records should be signed and dated by both parties. If there is disagreement as to the content of the record this should be recorded by the supervisor. See Appendix 3 for a model pro forma.

1.15. Storage and retention

A specific supervision file should be maintained (for hard copies) by the line manager so that the record can be reviewed at appropriate times (e.g. Induction, EDR's, Progression, significant case related issues). Records of supervision should be seen as transferable and should follow the member of staff in the event of transfer within the service.

1.16. Confidentiality and Access

Supervision is a private but not a confidential process. This means that the records are the property of the organisation, not the individual. From time to time supervisors will need to discuss the content of supervision sessions with others, e.g. their own line managers. This should always be with the knowledge of the supervisee. Access to supervision records should be controlled and all records should be locked away. Other people may from time to time require access to supervision records. These might include:

- Managers providing cover in the absence of line manager

- Senior Managers (for quality assurance purposes)
- Investigating officers (e.g. for capability or disciplinary purposes)
- Inspectors (e.g. Inspections)
- Performance staff (e.g. for audit and quality assurance purposes)

Section 2

2. Additional Guidance for Managers and Staff

These guidance notes may be used as a checklist to help you audit your supervision practice, and help you to get the best out of the session, both as a supervisor and a supervisee.

2.1. To be a good supervisor you need to:

- Plan a joint agenda (e.g. review previous supervision notes before meeting and make a note of issues you wish to raise)
- Clarify tasks and areas of work that the manager expects of the staff member
- Encourage honest and open discussion of real issues
- Hold regular sessions at agreed dates and times and be on time
- Ensure the session is uninterrupted and is comfortable
- Praise work done well
- Listen, summarise and check out.
- Be constructive, and offer balanced feedback, focusing on the positives first
Support staff, and build on existing skills and knowledge (refer to National Occupational Standards appropriate to the post)
- Set clear targets with action, and write these down
- Anticipate problems and issues before they get serious, eg in relation to potentially violent service users.
- Do what you say you will do
- Be specific in any comments you make relating to supervisee's performance.
- What ever the supervisee's present levels of capability/competence, convey confidence that he/she can reach new levels. Try to stretch him/her towards them.
- Write down actions on either side.

- Record any disagreements
- Make your own experience, knowledge and skills available to help the supervisee
- Set the supervisee's work in the context of legislative and agency requirements, signposting to relevant statute, regulations and agency policy/procedure as appropriate e.g Staff code of Conduct, previously agreed performance contract.
- Acknowledge conflict and tensions openly e.g. as between 'ideal-case' interventions and resource or budget constraints
- Acknowledge that you haven't got 'all the answers'
- Think who else can help with the issue
- Give yourself time to seek further information or seek advice, if you're not sure
- Help staff to reflect on their practice, e.g. what worked, didn't work, why, and lessons for the future.

2.2. To be a good supervisee you need to

- Plan a joint agenda (e.g. review previous supervision notes before meeting and make a note of issues you wish to raise)
- Openly discuss real issues
- Attend regular sessions at agreed dates and times and be on time
- Raise problems and issues before they get serious, e.g. in relation to potentially violent service users
- Do what you say you will do
- Keep up to date with related reading around legislative changes, policy and procedures
- Keep up to date with related reading around research and theory related to service user's needs.

- Use supervision to reflect on your understanding and application of knowledge, theory and your skills, and how this has an impact on outcomes for the service user.
- Use supervision to reflect on how you promote the values of anti-oppressive practice, and meaningful user involvement and participation.

2.3. Common Barriers to the delivery of effective supervision can include:

‘Dumping’ – saving up criticisms and discussing them all at once
 Unplanned, rushed agenda, and unfocussed sessions
 Inadequate preparation by supervisor or supervisee
 Unclear or unrealistic goals for staff members
 Telling rather than listening
 Failure to offer constructive commentary on performance
 Misuse of power, e.g. bullying, harassment, victimisation
 Allowing interruptions
 Running out of time
 Poor recording of supervision
 Emotional issues unaddressed
 Case management rather than a developmental focus

Further reading/resources

CWDC and Skills for Care (2007) ‘Providing Effective Supervision’

<http://www.skillsforcare.org.uk/files/Effective%20Supervision%20unit.pdf>

Codes of Practice 2004

Kadushin, A. (1992) *Supervision in Social Work* (3rd. edn.), New York: Columbia University Press.

Appendix 1

Minimum frequency of supervision

Community Resource Workers 2-4 weekly

Self Directed Support practitioner according to level 1-3 as appropriate

Social Worker-level 1 2-4 weekly
Social Worker-level 2 4 weekly

Social Worker- level 3 4-6 weekly

Senior Care Managers 4-6 weekly

Principal Care Managers 4-6 weekly

Administrative staff 4-6 weekly

Specific frequencies for Regulated Staff are outlined in National Minimum Standards

All other staff 4-6 weekly

Appendix 2

Performance Contract

Results or Outcomes that the post is designed to deliver and understand the key performance indicators that are relevant to the post, plus other outcomes agreed between employee and line manager. (ref to Team, Section or Division plan)

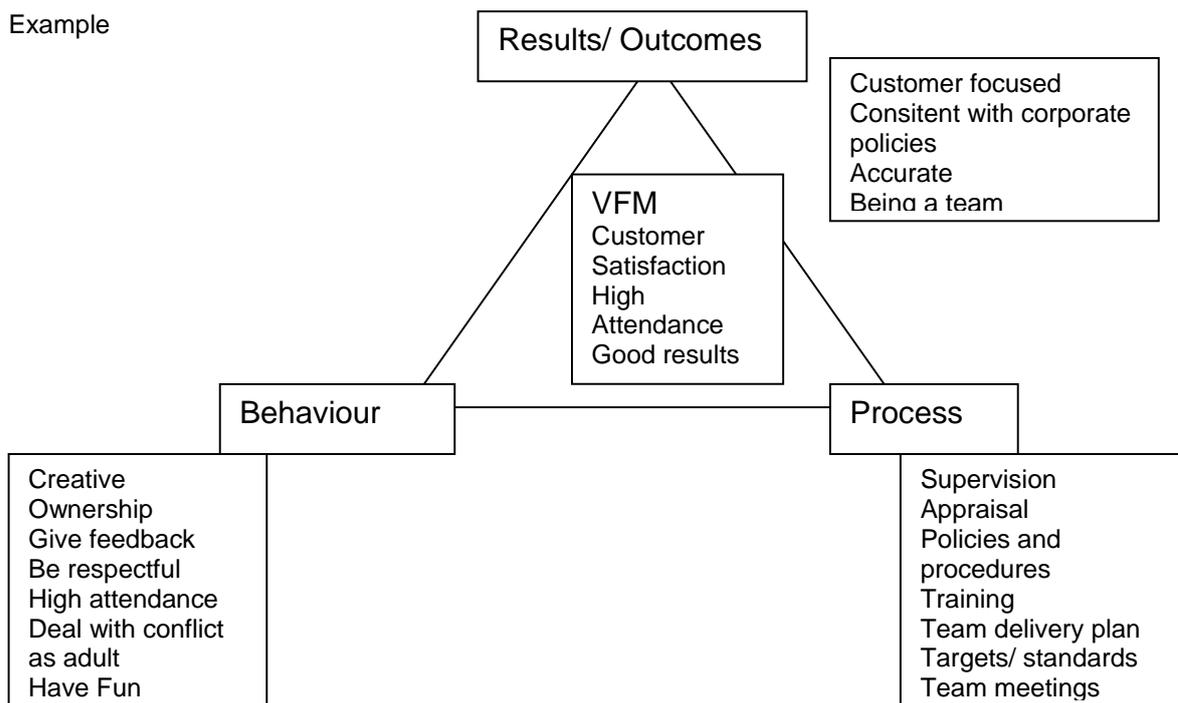
Process

Discuss and agree aspects such as day to day process that need to be complied with, signing in, out lone working, hand overs etc

Relationship/ behavior

We are all different and like information delivered and to be treated in different ways, share how you would want to work together, what's important to each party and why

Example



Individual Supervision Agreement

There should be an agreement drawn up between the supervisee and supervisor that details how the supervision session should be arranged and recorded.

Example

This Individual Supervision Agreement was made on

Between (Supervisor)
and (Supervisee)

The purpose is to ensure understands his/her role, tasks, rights and responsibilities.

To assist in his/her continuous professional development.
To support him/her in managing the demands of the job.
To provide constructive feedback in a safe and appropriate manner.
An opportunity to critically reflect on their practice

Framework for Supervision

Frequency of Meetings: Need to be in line with standards

Time of day- what time is best for the supervisee, mornings? not Friday afternoon!

Length of Sessions: No longer than 2 hours

Location: Safe, uninterrupted, quiet,

Responsibility for Recording:

Responsibility for typing a) personal b) case file notes c) use outcomes as guide

Extent of confidentiality – the supervisors line manager will see the notes to audit and if requested, how will that request be communicated?

Responsibility for setting the agenda – there should be no surprises – two way agenda

Give and receive feedback- How does each person wish to give and receive feedback?

Mediation of any difficulties

Signed Date

(Supervisor)

(Supervisee)

Supervision Meeting Record

A record **MUST** be kept of the supervision session and signed by both parties; this will form the basis of the audit.

NB Where a discussion or decision relates to an individual service user, the Line Manager is responsible for ensuring this is recorded on the individual electronic case record.

Services use the staff outcome framework during their sessions, some record under the outcomes

