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Supervision Policy
Children and Families Service

POLICY INFORMATION SHEET

Name of Document	Supervision Policy
Service area	Children and Families Services, People Directorate.
Target Audience	All staff in Children and Families Services
Forum Policy/Procedure/Strategy was approved	Children and Families Services Senior Leadership Team
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Status: <ul style="list-style-type: none"> • Mandatory (all named staff must adhere to guidance) • Optional (procedures and practice can vary between teams) 	Mandatory
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Superseded document(s)	Supervision Policy 2019
Lead Officer(s)	Divisional Manager, Children in Care and Care Leavers (CiCCL) Principal Manager, CiCCL

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1. Scope of Supervision Framework

The Supervision Framework: Policy, Procedure and Guidance sets out how supervision is carried out within Children and Families Services in Halton. The aim is to provide a framework for the supervision of all Children and Families Services staff. This framework has been written following consultation to ensure it meets the needs of the service, the staff and their supervisors, regardless of the area in which they work and is intended to provide an understanding about the requirements and process of staff supervision.

Specifically for registered Social Workers, this policy reflects the standards issued by Social Work England.

In particular:

- *As a social worker, you will use information from a range of appropriate sources, including supervision, to inform assessments to analyse risk, and to make a professional decision;*
- *Supervision will provide practitioners with feedback to critically reflect on, and, identify learning needs and reflect on how you use research and evidence to inform your practice.*

This includes:

- *Adhering to Social Work England's Professional Standards which provide a threshold for safe and effective practice.*

In addition to this Supervision Policy, practitioners who have registered for an account with [Research in Practice](#) (RIP) may access the following resources:-

- Reflective Supervision: Resource Pack
- PSDP – Resources and Tools: Using appreciative questions in supervision
- PSDP – Resources and Tools: Having reflective discussions in supervision
- PSDP – Resources and Tools: Using the five anchor assessment principles in supervision
- PSDP – Resources and Tools: Questions around the supervision cycle
- PSDP – Resources and Tools: Using Systemic questions in supervision
- PSDP – Resources and Tools: Safe Uncertainty

Halton is a member of RIP and as such anyone in Halton Borough Council Children and Families Service can [register](#) for an account.

2. Framework and Policy

'Supervision is the cornerstone of all good social work practice' (Lord Laming, Victoria Climbié Inquiry Report, 2003)

"Supervision needs to provide a quiet space where critical inquiry, striving for "best practice" and the risky and unpredictable aspects of human behaviour can be held in a creative tension." (Beddoe, 2010, p1293)

Halton Borough Council acknowledges the importance and need for high quality, supportive and reflective supervision for every practitioner who works with children and families. It benefits the individual, the organisation and indirectly, as part of an intervention, it benefits those who use services, including children, young people and their families. Supervision which supports staff to critically analyse, reflect on their practice where applicable, and to manage the emotional impact of what they do will result in better outcomes for children and families. The supervision and development of all staff are significant processes in the success of the organisation.

Supervision arguably has the greatest influence on work and practice other than the practitioner themselves. Managers, supervisors and supervisees are jointly responsible for ensuring that supervision meets the requirements as set out in this policy. This policy sets out how staff can expect to be supervised and provides managers with the key elements needed to supervise staff effectively and promote the development of all practitioners.

Our approach to supervision is based on the principles of Systemic practice which is the ability for practitioners to build open, honest and strong relationships with children and families and to be able to develop a level of trust which will help them to create real and sustainable change.

2.1 The Objectives of Professional Supervision

Professional supervision is a process in which the supervisor enables, guides and facilitates the practitioner's development and need for support, in meeting certain organisational, professional and personal objectives. This occurs during formal prearranged meetings and in less formal day to day case discussions, termed here as informal supervision. Development and support needs of supervisees should be addressed. The records of supervision should enable a child to understand the reason for provision of services if s/he accesses his/her file.

These objectives are:

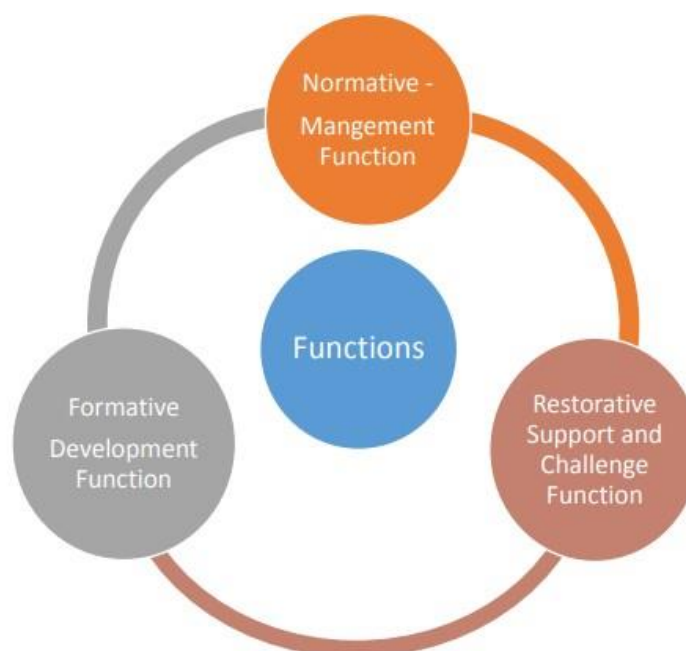
- To improve the quality of services to children and families and outcomes for children. In some instances, this will include complex circumstances where it's important to reach evidenced based decisions that support better outcomes for children and families.
- To ensure the supervisee is clear about roles and responsibilities.
- To recognise the impact of what can be stressful work with children and families on the supervisee and agree ways to manage stress.
- To debrief and offer support following significant events that have impacted on the supervisee.
- To consider the supervisee's personal safety when undertaking his / her work and take action.
- To identify the supervisee's learning and development needs and arrange to meet them through the use of courses, coaching, mentoring, job shadowing, research and literature and peer learning sessions.

- To signpost the supervisee to useful literature and research, and the policy and procedures, to support evidence informed practice.
- To maintain a record of the supervisee's learning and development in line with their continued professional development.
- To provide feedback to the supervisee on their practice and performance and identify any actions for improvement and acknowledge evidence of professional development and competence.
- To monitor the supervisee's progress in meeting the continuing professional development requirements for registration as a social worker (if applicable).
- To put in place appropriate safeguards as necessary to ensure work is carried out safely e.g., social work visit by manager, involvement of further professionals.
- To consider the resources the supervisee has available to do their job and discuss issues arising where they are not adequate.
- To provide a positive environment in which practice can be discussed and reviewed. Professional challenge about casework practice, assessment, analysis and decision making between the supervisee and supervisor is an essential part of effective supervision and should take place in a respectful and child focused manner.
- To ensure the worker's and employer's practice accords with the professional standards issued by the Social Work England.
- Professional supervision is the key process for balancing professional autonomy with responsibility to the service user, professional ethics and standards, along with accountability to Children, Schools and Families and society as a whole.

2.2 Functions of Supervision

The functions and purpose of supervision are: -

- Normative – this is the management function.
- Formative – this is the development function.
- Restorative – this is the support and challenge function.



2.3 Assumptions

The assumptions for our supervision practice are: -

- It is child and family focused, captures their voice and considers their identity and culture.
- It is outcome focused. For outcome focused supervision to be effective and meet its purpose, it must offer both “challenge” and “support”. Supervision that is done “to” or does “for” the supervisee(s), cannot contain all the essential ingredients and will yield unsustainable outcomes.
- Planned/formal supervision takes place and may be accompanied by unplanned and informal supervision.
- It relies on effective relationships.
- It relies on a commitment to or belief in the process.
- It involves personal responsibility and accountability.
- There is a genuine desire to increase understanding; improve decision making; make improvements; evaluate practice and act on learning.
- It is an essential component of Continuous Professional Development.

2.4 Agreed model and approach for social work

The agreed model and approach for social work supervision draws on the work of Tony Morrison and his publication – ‘Staff Supervision in Social Care’ (2005) – and endorses the approach using the Kolb Experiential Learning Cycle (adapted by Morrison, 2005) often referred to as the 4x4x4 supervision model.

Other Children and Families services may also decide to use this model and approach.

‘The importance of getting the supervision of staff right in social care, and of positive role modelling by managers, cannot be overstated. The quality of services to vulnerable users and the level of staff morale, skills and motivation are all inextricably bound up with the fate of supervision and the degree to which supervisors and managers model the attitudes and behaviours that the organisation wishes its frontline staff to adopt. Put starkly, it is not the existence of supervision per se that makes a difference; what is necessary is good supervision’.

(Tony Morrison- Staff Supervision in Social Care)

This model has three fundamental elements which together provided an integrated framework for supervision that can be adapted to work effectively across both health and Social Care Settings.

The three elements are:

- 4 Functions of supervision – Management, Development, Mediation, Support
- 4 Stakeholders in the supervisory process – Service Users, Staff, Organisation, Partners
- 4 Stages of the Kolb learning cycle – Experience, reflection, analysis, plans and action

4x4x4 Model



Adapted from Morrison (2005)

3. Supervision Procedure

There are various arrangements which reflect different needs in supervision within Halton. These are Individual (Formal Supervision), Unplanned or "Ad Hoc" Supervision and Group or Peer Supervision which will be embedded across the service.

3.1 Individual (Formal Supervision)

Reflective one-to-one supervision takes place in a setting that protects the confidentiality of discussions, at a pre-arranged time with an agreed agenda and preparation by both parties. Supervision is undertaken by the practitioner's line manager. Furthermore, managers who supervise Social Workers must be a qualified and registered Social Worker.

Staff welfare, performance and Continued Professional Development should be discussed during supervision. The following aspects should be discussed within supervision and recorded: -

- Check In - Well-being/Impact of Work on practitioner, to include what the practitioner hopes to achieve from their supervision.
- Review of actions from last supervision.
- Agreed priorities for today's supervision.

- Workload management and performance.
- Learning and Development.
- Any serious incidents / complaints /commendations.
- Reflection of issues that impact on individual.
- Risk management issues & strategies.
- Annual Leave/Toil.
- Any other issues/business.

Within supervision, practitioners will be supported to talk about the children and families that they are working with in order to explore them through a reflective cycle and opportunity to hypothesise and discuss interventions. Detailed below are minimum standards for case management supervision dependent upon category of involvement.

** monthly supervision is 20 working days

Early Help	<ul style="list-style-type: none"> • monthly locality • bi monthly early help family hubs 	
Child Protection Plan	<ul style="list-style-type: none"> • monthly 	Proposal to end the Plan there should be a supervision within 4 weeks prior to CPRC.
Children in Need	<ul style="list-style-type: none"> • Bi-monthly depending on complexity 	
Private Fostering	<ul style="list-style-type: none"> • monthly 	Arrangements to follow CiN procedures.
Pre-proceedings	<ul style="list-style-type: none"> • monthly 	
Care proceedings	<ul style="list-style-type: none"> • monthly 	Frequency should continue for the duration of proceedings
Children Looked After	<p>Once x minimum of monthly</p> <ul style="list-style-type: none"> • Placement with Parents • If placed with temporary approved foster carers • Placed out of area beyond 20 miles • Placed in unregulated placements • In secure accommodation • Identified as high risk/ vulnerability ie CCE/CSE/ county lines • Children in a pre-adoptive placement • Remanded into the care of the LA <p>Bi-monthly</p> <ul style="list-style-type: none"> • Children in matched placements • Settled in placements in Halton or within 20 mile radiance 	
Care leavers	<ul style="list-style-type: none"> • Every three months <p>monthly for:</p> <ul style="list-style-type: none"> • Young adults deemed to be vulnerable or at risk of exploitation • With additional needs • NEET 	

Fostering	<p>Monthly</p> <ul style="list-style-type: none"> • First 12 months of approval • Subject to LADO procedures • Were children in placement are vulnerable to exploitation/ remanded to our care/ carers identify the child to be unsettled <p>Bi Monthly</p> <ul style="list-style-type: none"> • Settled placements • Matched placements 	Any carers subject to allegations management procedures (LADO) supervision Once x minimum of every 28 days (20 working days)
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Caseload Management should also be considered and reviewed during supervision. Managers must evidence consideration of the following factors when judging the appropriate level of complexity of a case and the number of cases allocated to an individual worker: -

- The level of experience of the practitioner. For Social Workers, this will include ASYE, Progressed and Experienced or Advanced.
- The developmental areas for each practitioner.
- The individual circumstances of the practitioner.
- The nature and complexity of the cases and the demands and time requirements of each case.
- How work will be allocated, planned and prioritised – in line with statutory requirements and deadlines.
- The amount of administration required at particular points in a case.

When Social Workers leave the service or are on long term absence, cases must be reallocated to another Social Worker ideally who is line managed by the same Practice Lead or Principal Manager.

The aim is for workers to hold no more than 18 cases but there may be times when this is exceeded. If this is the case, then managers need to evidence why and the plan to manage the work. Caseloads which exceed 25 must be formally reported to the Head of Service responsible with an action plan to reduce. Any caseloads which exceed 30 must be notified directly to the Operational Director with a plan to reduce.

Case work can be variable at particular points dependent on the outcomes required and it is expected that managers provide clear support and direction but that they also do not over-allocated case work when there are conflicting pressures e.g., filing of Court statements with allocation of Child Assessments or a Child Protection investigation.

If a supervisor is absent from work for over three weeks, the Head of Service should ensure that effective temporary arrangements are in place for the supervision of staff.

3.2 Unplanned or “Ad Hoc” Supervision

The need to respond to service user’s changing needs means that practitioners often have to “check something out” with their supervisor to obtain a decision or gain permission to do something in between formal supervision sessions. In addition, practitioners working closely with their supervisor will often communicate daily about work issues and problems arising. Any such discussions should be recorded on the child’s file using the Management Decision Making Record or recorded within

Case Recordings. Unplanned or “Ad Hoc” supervision should not replace the planned, formal one to one supervision between the supervisee and their line manager.

3.3 Group/Peer Supervision

Group Supervision can be used to complement but not replace individual supervision. It involves a group of professionals involved with a specific child or family with a supervisor to discuss and reflect on a particular issue or concern or consider the plan for a child.

Peer Supervision can also be used to complement but not replace individual supervision. Peer supervision usually refers to a reciprocal arrangement in which peers’ work together for mutual benefit where developmental feedback is emphasised and self-directed learning is encouraged. It should allow for the use of tools such as analysis of positive and challenging incidents, issues, dilemmas and experiences, structured questioning and sharing of practice and feedback. Please see Appendix F for Group/Peer Supervision Record template.

3.4 Employee Appraisal and Development Review (EDR)

The opportunity of Employee Development Reviews is to ensure that all employees within the Children and Families Service have an opportunity to discuss their work plan and development needs.

An EDR is a valuable tool for both practitioners and managers and should be reviewed six monthly. They should ensure that all practitioners: -

- Have an opportunity to identify what has gone well and what hasn’t gone so well over the past year.
- Set measurable objectives and/or targets in line with their team objectives and/or targets for the coming year.
- Identify learning and development needs to help them to carry out their roles successfully.

The EDR discussion should be supplemented by regular, informal discussions either in one-to-one sessions or at team meetings during the course of the year to follow up on agreed actions, discuss progress and consider any issues.

a) **Setting Objectives** - The primary purpose for setting objectives/targets is to ensure that the activity of the employee links to the service/council objectives. Therefore, there needs to be a clear agreement and understanding between manager/supervisor and the employee as to what these objectives are.

b) **Feedback to Manager/Supervisor** - The Development Review discussion gives the employees the opportunity to give feedback on the performance of the manager/supervisor. In addition, as employees are often at the forefront of service delivery; Development Reviews gives the opportunity to discuss possible ideas for service improvement and to contribute to the continuous improvement agenda.

c) **Training and Development** - As part of the Development Review process the manager/supervisor and employee should agree on a development plan together which sets out how training and development needs will be addressed. Such a plan should include appropriate professional requirements/guidelines for continuing professional registration.

d) **Career Development** – Development Reviews should be an opportunity to explore whether employees have any longer-term aspirations and whether there is scope to broaden their experiences. This is a critical part of succession planning to ensure that the service has the skills to meet the future demands of the organisation.

e) **Frequency** - Everyone should have an annual Development Review and a mid-year review.

3.5 Frequency of Supervision

Supervision should take place, irrespective of employment status (i.e., permanent, casual, temporary, agency, full time or part time.)

Formal supervision should take place on a minimum every 28 days (20 working days). However, supervision frequency also needs to be tailored to the developmental and professional needs of the practitioner. When considering the frequency of supervision, the supervisee's level of experience and capability and any particular circumstances that apply to the supervisee (e.g., a complex case, the level of risk associated with the work, personal difficulties, performance issues or level of stress) should be considered

The actual frequency for individuals should be agreed between the supervisor and supervisee when negotiating the terms of the Individual Supervision Contract. Any deviation from the agreed frequency, should be by agreement between the parties and should be clearly recorded on the individual's Supervision Contract.

The expectation is that supervision lasts for at least 1 ½ hours of uninterrupted time. This is an important feature, and this policy requires that both parties make suitable arrangements for cover/message taking etc. so that the session is not interrupted except for urgent reasons.

3.5.1 Newly Qualified Social Workers

For newly qualified Social Workers completing the ASYE (Assessed and Supported Year of Employment) Programme, the practitioner can expect: -

- A reduced caseload.
- Regular supervision – up to 1 ½ hours duration of uninterrupted time, weekly for the first 6 weeks; fortnightly up to the 6-month review and at least Once x minimum of every 28 days (20 working days) thereafter.
- Protected professional development time.
- Regular Review meetings – 3, 6 and 9 with the final review 11 months post starting the ASYE Programme.
- A mentor/buddy – this is usually an Advanced Practitioner or Senior Social Worker in the team who can support and provide additional reflection sessions.

3.6 Supervision Contracts

The process of developing a supervision contract is as important as the written document. The process should begin at the first supervision though it may not be completed in one session. To support the discussion of developing a strong supervisory relationship, asking the supervisee to reflect on their supervision history and previous experiences of supervision can be a helpful tool.

The supervision history exercise is a useful way to get to know a new supervisee and can help with:

- Identifying positive motivation for supervision.
- Identifying gaps in training or experience.
- Being alerted to possible blocks or barriers to supervision, especially around race, gender, power.
- Unpicking problems in the supervisory relationship.
- Building commitment and a shared sense of responsibility for supervision.
- Understanding the significant professional influences that shape the practitioner's style, values and motivation.
- Identifying the workers coping style, resilience and vulnerabilities.

Supervisors can ask questions in relation to what the supervisee found most helpful or least helpful when reflecting back on their previous supervision experiences.

A supervision contract establishes the basis on which both parties will work together during one-to-one supervision. The establishment of "ground rules" should be through negotiation and should clarify the rights and expectations of both sides to create a safe, secure and effective supervisory relationship. When the supervision contract has been agreed, it should be signed by both the supervisor and supervisee. A copy should be retained on the Practitioners Supervision file.

When establishing the supervision contract the following should be included: -

- Date and review of the contract (usually 12 months unless either party requests an earlier review).
- Frequency of supervision and dates of future supervision sessions for next 12 months, including the venue.
- Practical arrangements – the process if supervision has to be cancelled/re-arranged, an agreement that supervision will be uninterrupted, the anticipated length of supervision, the venue.
- Purpose of supervision.
- Arrangements for agenda setting e.g., both parties submit an agenda before supervision, at the start of supervision etc.
- Agree what is expected of the supervisor and supervisee to ensure supervision is meaningful.
- The recording of supervision, including where records will be kept to safeguard confidentiality.
- Arrangements for any ad-hoc or unplanned supervision.
- Complaints and review process, including the name of the named manager in the event of a complaint or dispute.

Please refer to Appendix C for the Supervision Contract Template

3.7 Recording of Supervision

The recording of the supervision is the responsibility of the supervisor. The supervisor must adhere to the following standards of recording, this will be audited during the quality assurance process.

Staff welfare, Performance and Development: These discussions will be recorded on the individual's Supervision Record (*please refer to Appendix D*). The detail included in the supervision record is a matter of judgement for the supervisor and supervisee. 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 actions points or understanding arising from it should be sufficient in most cases.

The Supervision Record should be fully completed, and a copy given to the supervisee within 10 working days of the supervision taking place. The written record should be signed by both parties to demonstrate agreement of accuracy. If there is any disagreement in relation to the content, it should be recorded by the supervisor. A copy should be retained by both parties and a copy placed in the practitioners Supervision File stored electronically.

Case Discussions: The template for individual case discussions should be used to enable reflective discussions to take place in respect of children and young people. The expectation is that practitioners complete sections 1 and 2 ahead of supervision. The other sections are discussed during supervision and recorded by the supervisor.

The completed record of these discussions including the actions and decisions agreed must be recorded on Eclipse under Case Recordings; 1:1 Supervision to evidence the direction of travel. The discussions should be inputted onto Eclipse within 10 working days of the supervision taking place. *Please refer to Appendix E for the Case Discussion template.* Under no circumstances, is it permissible to use any other documentation other than what is set out in this policy.

3.8 Supervision Tracker

It is a mandatory requirement for supervisors of Social Workers to record and submit information onto the Supervision Tracker which should be held by administrative staff within each team. Other parts of the Service may adopt a variation to these arrangements. The information should be submitted on every 28 days confirming that supervision has taken place and if not, the reasons as to why. Each Head of Service should review the Supervision Tracker every 28 days to ensure that all staff within their service are receiving supervision.

3.9 Supervision File Structure

All practitioners will have an individual electronic supervision file which will contain the following: -

Section 1 – Front Sheet	<input type="checkbox"/> Detailing personnel details
Section 2 – Details of post	<input type="checkbox"/> The job description and job specification of the practitioner
Section 3 – Supervision Record	<input type="checkbox"/> Supervision contracts <input type="checkbox"/> Supervision records
Section 4 – Personal Development	<input type="checkbox"/> Induction Checklist and Information
	<ul style="list-style-type: none"> • Performance Action Plans • Annual Development Reviews • ASYE Documentation (Learning Agreement and Reviews) • Progression Documentation • Observations of practice
Section 5 – Staff Welfare	<input type="checkbox"/> Risk Assessments relating to employees <input type="checkbox"/> Any referrals (e.g., OHU)
Section 6 – Correspondence	

Please refer to Appendix A for the Supervision File Contents Page template

4 Practice Guidance

4.1 Practice Observations

Observation of staff in their everyday work is an important element of quality assuring front line practice. Supervision and case file audits on their own are useful but cannot fully assess the way workers work, support and build relationships with children, young people, families and fostering households. Observation of practice provides a complementary alternative, offering an opportunity to gain a picture of the way that practitioners work with children and families, their behaviours, outlook and approach.

Within Social Work, managers will observe the practice of newly qualified workers in line with local and national ASYE policy. This observation will be recorded within the ASYE programme documentation.

For all other practitioners, their line manager will undertake practice observations on a quarterly basis. If managers identify any workers within the team in need of support with improving performance, they may increase the frequency of practice observations in line with a development plan or performance plan. Opportunities to support practice observations don't necessarily need to include arranging additional activities. Utilising existing opportunities as part of casework can be best utilised such as observing a meeting, being part of joint visit to a family.

Practice observations will be recorded and will include the practitioner planning their objectives and then reflecting on their own experiences of the observation. There will be an expectation, that managers will seek feedback from the child/family/carers/professionals who were involved when the observation took place, where appropriate. It is also expected that the manager discusses the practice observation with the practitioner at their next supervision and agree any areas for development as necessary. The record of the Practice Observation will be held within the individual's supervision file. *Please refer to Appendix G for a copy of the Practice Observation Template.*

4.2 Social GRRACCEES

The following has been adapted from the Research in Practice (RiP): PSDP—Resources and Tools: Social GRRACCEESSS and the LUUTT model.

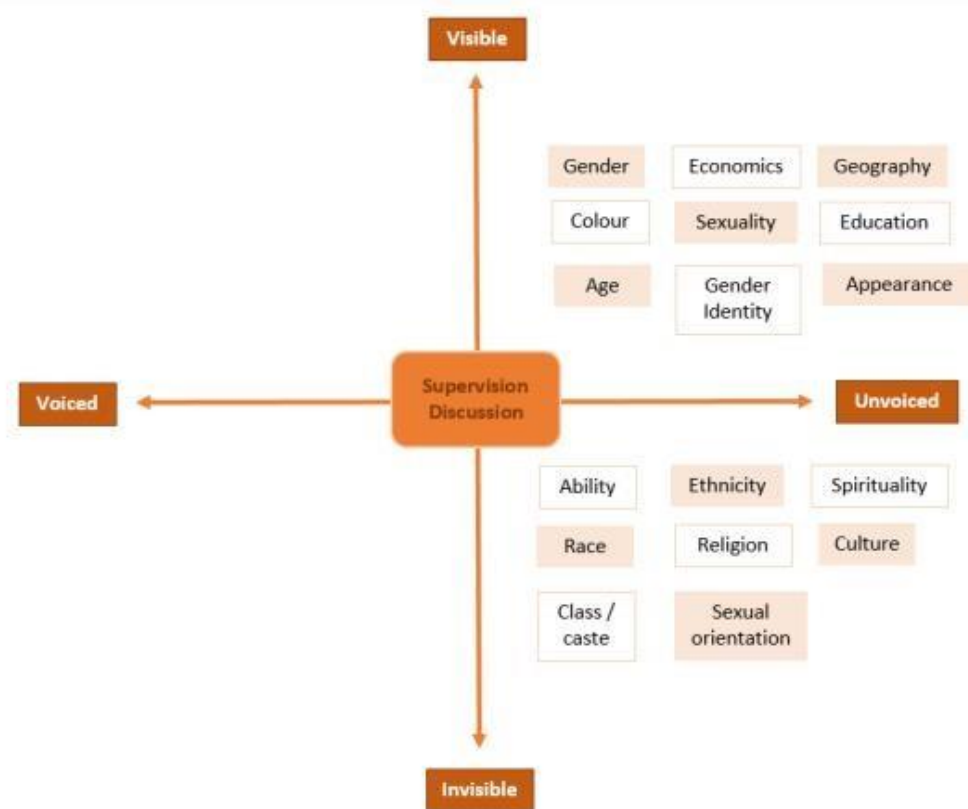
The term social GRRACCEESSS is an acronym that describes aspects of personal and social identity which afford people different levels of power and privilege. It can be helpful to explore the social GRRACCEESSS and the LUUTT model within teams in individual or group supervision discussions to help understand how we all have different experiences of power or powerlessness, and that our views can be influenced by the social GRRACCEESSS. The RiP resource includes a variety of activities.

Divac and Heaphy (2005), talk about the importance of exploring positioning in terms of power and the social GRRACCEESSS. This is important as it begins to deconstruct the power relationship between supervisor and social worker, and social worker and family members. Power

differentials can never be obliterated but making positions explicit and exploring their effects enables people to make better choices in their future actions.

Gender	Geography	Race
Religion	Age	Ability
Appearance	Culture	Class/Caste
Education	Ethnicity	Spirituality
Sexuality	Sexual Orientation	

The social GRRRAACCEEESSS can be voiced / unvoiced and visible / invisible (Burnham, 2012). However, the social GRRRAACCEEESSS may be more visible than others at different times and can be shifted into different quadrants by talking about them in supervision discussions as follows:



Burnham J (2012) 'Developments in the Social GRRRAACCEEESSS: Visible-invisible and voiced unvoiced' in Krause I (ed) Culture and Reflexivity in Systemic Psychotherapy: Mutual Perspectives. London: Karnac.

Divac A and Heaphy G (2005) 'Space for GRAACCES: training for cultural competence in supervision. Journal of Family Therapy 27 (3) 280-284.

4.3 Quality Assurance

4.3.1 Observation of Supervision

Observations of Supervision for each manager by their line manager will be undertaken on a quarterly basis. This observation will include: -

- Direct observation of a supervision
- A conversation with the supervisee
- A conversation with the supervisor
- A review of the supervision file and case discussions recorded on Eclipse

The observing manager will then analyse all the information, draw conclusions and discuss these with the supervising manager. Where required, actions for improvement will be identified. New managers could benefit from an observation of supervision with the first three months of the start of their new role. Please refer to Appendix H for the Observation of Supervision template.

4.3.2 Staff Survey

A survey will be carried out which includes questions about supervision. In Social Work, this is an anonymous survey, which seeks feedback from staff about supervision and other aspects of their working life. The outcomes are analysed, and improvements are identified.

4.3.3 Supervision File Audits

In order to be effective, the supervision process requires regular monitoring and quality assurance arrangements are in place. The Quality assurance process ensures that: -

- The standards of supervision outlined in this policy are followed
- Qualitative aspects of the supervisory relationship are evidence particularly analysis, professional challenge and reflective practice
- Staff are being supervised professionally, regularly and effectively
- Supervision is being recorded appropriately
- Supervision Contracts are being developed, reviewed and used
- That supervision promotes equal opportunities and anti-discriminatory practice
- Highlight and share areas of good practice

As well as practitioner's individual Supervision file being reviewed as part of the observation of Supervision, which is also documented within Halton's Quality Assurance Framework, the Senior Leadership Team will audit individual staff supervision files on a quarterly basis. Supervision and management oversight is built into the QAF as part of regular case management auditing. However, in addition there will be thematic auditing that may include management oversight and supervision.

A Supervision File Audit Form will be completed following the Audit. *Please refer to Appendix I for the Supervision File Audit template.*

4.4 Confidentiality and Access

Supervision is private but not a confidential process. This means the records are the property of the organisation, not the individual. From time-to-time issues raised within supervision may need to be shared with other managers and staff; however, this should always be with the knowledge of the supervisee.

Access to supervision records should be controlled and all records should be stored so that others who do not have a legitimate right to see the records cannot access them. Supervisees should be aware that from time-to-time others may access records. These may include:

- Senior managers for quality assurance purposes
- Investigating Officers for disciplinary purposes
- Ofsted Inspectors
- Performance staff for audit and quality assurance purposes

All parties should be aware of their responsibilities in relation to the protection and use of service user information as recommended in the Caldicott principles. Caldicott principles refer to good practice guidelines as a result of the Data Protection Act 1998.

In the event there is any uncertainty about what should or should not be shared, the supervisor's line manager should be consulted for advice.

4.5 Complaints

Supervisees should always discuss any complaint or dissatisfaction in the first instance with their line manager and endeavour to reach an agreement within the normal supervisory process. However, supervisees are entitled to contact a named manager if they feel the terms of their supervision contract are not being met. Information about the relevant named manager should be included in the Supervision Contract.

Where there is a dispute between the supervisor and supervisee on any aspect of work performance or service delivery the following process should be followed in seeking a resolution:

- If the Principal Manager and supervisee cannot agree either party may refer the issue to the relevant Head of Service.
- If the Principal Manager and Head of Service cannot agree either party may refer the issue to the Operational Director.
- If the Head of Service and Operational Director cannot agree either party may refer to the Strategic Director.

Any disagreement and its resolution should be recorded on the Supervision Record.

4.6 Storage and Retention

The individual supervision contract and supervision records will be kept on the supervisees file held electronically in an agreed place.

When a supervisee leaves the employment of the council the record will be archived and retained for seven years after the member of staff has left and will be destroyed. Where a member of staff transfers to another section or supervisor within the directorate their records should be passed onto

their new supervisor. Archived information will be reviewed regularly to ensure any supervision records are destroyed promptly on reaching the seven-year limit.

For any paper Supervision Files, these should be sent to archive where they will be securely stored. Supervision Files for archive must be boxed and clearly labelled with the following information:

- If more than 1 box, boxes should be labelled with numbers and contents of the box
- Boxes should have a Contact Name
- The Name of Team
- Destroy Date
- Labelled & Sent to Picow Farm

Supervision File Contents

	SECTION
Personnel Details	1
Current Job Description and Person Specification	2
Supervision: <ul style="list-style-type: none"> ▪ Supervision Contracts ▪ Supervision Records 	3
Personal Development: <ul style="list-style-type: none"> ▪ Induction Checklist & Information ▪ Annual Development Reviews ▪ Performance Action Plans ▪ Progression Documentation ▪ Practice Observations 	4
For Newly Qualified Social Workers in the Assessed and Supported Year in Employment: <ul style="list-style-type: none"> ▪ Initial Learning Plan & Review Information ▪ Correspondence relating specifically to the ASYE Assessment 	4
Staff Welfare: <ul style="list-style-type: none"> ▪ Risk Assessments relating to employees ▪ Any referrals (e.g. OHU) 	5
Correspondence: <ul style="list-style-type: none"> ▪ Letters ▪ Copies of Emails 	6
Any Other Business: <ul style="list-style-type: none"> ▪ Management Audits ▪ Supervision file Audits ▪ Case File Audits 	7

Supervision File - Personnel Details

Surname		
Previous Surnames/ Known by:		
Forename (s)		
Title (Mr/Ms/Miss/Ms/ Other)		Employee Number:
Job title		
Part time/ Full time	(if part time, state hours per week)	Date employment started with HBC: Date employment started in current post:
Division & Team		
Workplace Address		
Gender		
Date of Birth		
Home Address		
Home Tel Number		
Mobile Tel Number		
Work Mobile Number		
EMERGENCY CONTACT INFORMATION		

Name	
Relationship	
Daytime Telephone No	
Evening Telephone No	
Mobile Telephone No	
Address	
Name and Address of GP	

Supervision Contract

Name of Supervisee	
Name of Supervisor	
Date of Contract	

This contract must be completed when the supervisee is new to the post and reviewed on an annual basis or when there is a change of supervisor. For further information about how to complete this document please refer to the Supervision Policy.

- AGENDA:**
- The purpose of supervision
 - Ground rules and format of supervision sessions
 - Roles and responsibilities
 - Expectations of supervision
 - Agreed tasks of the supervisee for future supervisions
 - Recording and storage of supervision records
 - Dealing with disagreements
 - Dates, time and venue of future supervisions
 - Review arrangements
 - Any Other Business

Summary of Discussion
Name of the Person to be contacted if there is a dispute:
Name:
Designation:

Dates of Supervision Meetings for the next 12 months:

Month	Date & Time	Venue

Signature of Parties to the Contract:

Supervisee		Date
Supervisor		Date
Date of Review:		

Supervision Record

Name of Supervisee	
Name of Supervisor	
Date of This Supervision	
Date of Last Supervision	
Comments if the gap exceeds the frequency as specified in Supervision Contract	

AGENDA:

<ul style="list-style-type: none"> <input type="checkbox"/> Welfare & Support - Please consider Check In - Well-being/Impact of Work on practitioner; Agreed priorities for today's supervision; Any serious incidents / complaints /commendations; Reflection of issues that impact on individual; Risk management issues & strategies; Annual Leave/Toil; Any other issues/business. <input type="checkbox"/> Previous Minutes & Progress of Actions Outstanding <input type="checkbox"/> Continuing Professional Development 	
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WELFARE AND PERSONAL SUPPORT:

Welfare/Support Needs	Discussion	Actions/Timescale

WORKLOAD MANAGEMENT AND PERFORMANCE:

Discussion in respect of workload management and performance

PROGRESS OF ACTION OUTSTANDING FROM PREVIOUS SUPERVISION

Outstanding Action/Discussion/Reason	Date Completed	New timescale

CASES DISCUSSED – Please record the PER number for all cases discussed

Cases Discussed

CONTINUING PROFESSIONAL DEVELOPMENT

This is an opportunity to review and reflect on professional development activities undertaken and how they have impacted on supervisee's practice and include details and review of the employee developmental process.

Note for Social Workers: Discussion needs to include the Social Work England requirements including registration and re-registration and outline opportunities for continuing professional development ensuring that social workers are able to maintain their professional registration.

Identified Developmental Need/Opportunity	Action/Outcome	Timescale

Supervisor's Comments: (Brief overall summary including performance, competence and capabilities)

Supervisee's Comments: (Reflective comments on this supervision session)

Signed:

Supervisee		Date:
Supervisor		Date:

Date, time and venue of next supervision:

Case Discussion Template

In preparation for Supervision, Practitioners will complete Section 1 and 2 prior to supervision. The Supervisor will complete sections 3, 4, 5 and 6 during supervision with the Practitioner.

1)

Child/Young person's name:	
Eclipse Number:	
Date of last visit:	
Date of next visit:	
Date of last meeting:	
Date of next meeting:	
Any additional key dates:	

2)

<p>Why are we working with this child/young person/what are we aiming for? What have we achieved for the child/young person since the last supervision? Please consider: Why did we become involved? If it was a parental issue, how does this impact on each child/young person within the household? The child's/young person's current lived experience; how is this different or improved since the initial referral was received? What are the strengths of the immediate family and other adults of importance, how is this different or improved since the initial referral was received? Consider barriers to change and the impact on the child/young person.</p>

3)

<p>Reflecting on the information above:- How has the child's lived experience changed since we became involved? What interventions and support have we used, what worked and what didn't work? What are we still worried about? What do we need to next or differently?</p> <p>Please consider: What have you observed on your visits? What is the child/family/other professionals telling you? Does the child, family and everyone involved agree what the issues are for and what we are aiming for? If change is not sustained, consider what is different for the family/child/parents when things are going well. How might we support the family to replicate this? What don't we know?</p>

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4)

The plan – What actions or interventions do we need to take next?

Make sure the plan is realistic.

Think about what you have said about what has/hasn't worked

What I need to do next?	I will do this by	How will we know this is working?	Review date	Completed

Group/Peer Supervision Record

Name of Practitioners who attended:	
Name of Facilitator:	
Date of This Supervision:	
Date of Last Supervision:	

AGENDA:

<input type="checkbox"/> Themes/Topics discussed
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Themes/Topics discussed	Discussion

Date, time and venue of next group supervision:

Practice Observation

Practitioner	
Observing Manager	
Date of Observation	

SECTION 1 – TO BE COMPLETED BY THE PRACTITIONER PRIOR TO THE OBSERVATION TAKING PLACE

Brief description of the intervention to be observed and the context in which the observation will take place
Planning for the observation: Please include preparation planning and specific objectives to be achieved
How was the service user prepared for the observation and how was their consent obtained?

SECTION 2 – TO BE COMPLETED BY THE OBSERVER

Service User Feedback: To be completed by observing manager directly following the observation

	Comments
Did the practitioner give you information about the observation before it took place? (Note: Are you confident the service user fully understands their participation in the observation and understands they are free to withdraw at any time?)	
Did the practitioner ask for your consent?	
Did you feel able to participate in the situation being observed?	

Is there anything the practitioner did well?	
Is there anything the practitioner could have done better?	
Do you have any other comments to make?	

OBSERVER ASSESSMENT

Brief Assessment of the observation including whether the practitioner met their specified objectives?
Did you observe any areas of good practice?
For Social Workers, which PCF domains have been demonstrated? Please provide information to support your assessment of the direct observation; reference can be made to the nine domains where relevant but you are not required to make a comment against each domain. You can identify strengths and areas for development.

SECTION 3 – PRACTITIONER TO COMPLETE FOLLOWING THE OBSERVATION

Critical reflection and professional development: Complete after you have read the manager's feedback.

Signed		Date
Practitioner		
Manager		

Observation of Supervision

Name of the supervisor who is being observed:

Name of the supervisee in this supervision session:

Name of who is observing:

Date of the observation of supervision:

Aspect of supervision	What are you trying to notice?	Evidence and commentary
Appropriateness of where supervision is taking place	Where is supervision taking place? Is it taking place in a location that supports confidential and productive discussions?	
Evidence of preparation Agenda setting, decisions on priorities	Do both parties arrive prepared for supervision? Is there evidence of preparation, for example as agreed by using the Supervision Preparation Tool How is the agenda decided?	
Quality of relationship and commitment to supervision	How would you describe the effectiveness of the relationship between supervisor and supervisee?	

	<p>And is there evidence of:</p> <ul style="list-style-type: none"> • a commitment to or belief in the process • personal responsibility and accountability • a genuine desire to increase understanding; improve decision making; make improvements; evaluate practice; and act on learning 	
<p>4x4x4</p> <p>Outcome focused, reflective and child and family focused?</p>	<p>Is there evidence of applying the 4x4x4 approach?</p> <p>Is supervision outcome focused and reflective?</p> <p>It is child and family focused, captures their voice and considers their identity and culture.</p>	
<p>Balance of functions</p> <ul style="list-style-type: none"> • Normative - Management function • Formative - Development function • Restorative - Support and challenge function 	<p>Is there evidence of a balance of the functions of supervision?</p> <p>Is supervision developmentally appropriate?</p>	
<p>Continuity (last session, next session)</p>	<p>Is there a link between sessions and accountability for achievement? Is there feedback?</p> <p>What has happened on an ad hoc basis in between?</p>	

Clarity of decision making, planning and rehearsal	<p>Are both parties clear about the status of decisions at the end of the session?</p> <p>Does rehearsal of actions take place?</p>	
	Does the supervisee leave supervision with a clear sense of direction and the steps they are going take, and they are energised to do so?	
Performance Management	<p>Is there clear feedback (positive or developmental) about performance?</p> <p>Is it well delivered?</p> <p>If there is a more challenging conversation/issue how is this handled?</p> <p>How does this 'land' with the supervisee?</p>	

Any other observations?

Summary of the conversation with the Supervisee following the supervision session

Summary of the conversation with the Supervisor following the supervision session

Summary of the review of the personal supervision file (electronic records)

Formulate your analysis of the learning from the observation, the two conversations and the review of the personal supervision file – share with the observed supervisor. Identify any identified actions for improvement

□

Practitioners Signature: -

Observers Signature: -

Date:-

Supervision File Audit

Name of Auditor:	Designation:
Name of Supervisor:	Designation:
Name of Supervisee:	Designation:
Team:	Date of Audit:

Evidence of:	Y / N	Comments	Action
Frequency of Supervision (as per policy)			
Welfare/Support Needs being discussed and addressed			
Professional Development For newly qualified Social Workers - Evidence of additional requirements in their assessed and supported year of employment (including assessment, support and development opportunities. Also evidence Learning Agreement and quarterly reviews)			
Performance Management (focussing on outcomes)			

Additional comments from the auditor following conversations with the supervisee and supervisor:

Auditor Signature:

Date:

	Action	By When	Completed
1			
2			
3			
4			
5			

Actions Completed by: (Name of Supervisor) Signature:

Date:

NB. Once actions are completed, please confirm by email with auditor.