COMMUNITY AND WELLBEING PROCEDURE NO:

Supervision

EFFECTIVE DATE: January 2012

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CATEGORY: Community and Wellbeing

KEYWORDS: Supervision, 1:1, appraisal

ISSUED BY: Kamal Lallian, Business Transformation Officer

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PROCEDURES CANCELLED OR AMENDED:

This is a newly created policy

REMARKS: This policy should be read in conjunction with all existing SBC and LOCAL policies and procedures.

SIGNED: Jane Wood

DESIGNATION: Director - Community and Wellbeing

AS A MANAGER YOU SHOULD ENSURE THAT:-

- You read, understand and, where appropriate, act in accordance with the policy
- All people in your workplace who need to know see this procedure, are aware of its content and you ensure that all staff act in accordance with the policy
- This document is available in a place to which all staff members in your workplace have access

AS AN SBC OFFICER/ MEMBER OF STAFF YOU SHOULD ENSURE THAT:-

- You read, understand and, where appropriate, act on this information
- Discuss any issues with your manager or supervisor which you do not understand
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1. EXECUTIVE SUMMARY

1.1 Purpose

1.1.1 The aim of this policy is to support all staff as part of the performance management framework which enables delivery of best quality services, which meet departmental objectives and performance indicators, as well as to outline the importance, principles and standards associated with carrying out Supervision and support to people in all service areas.

1.2 Scope

1.2.1 All staff who work within Adult Social Care will be affected by the guidelines outlined within this policy.

1.3 Policy

1.3.1 This policy offers guidelines in the following areas:

- Supervision Aims
- Principles and Standards
- Roles and Responsibilities

1.4 References to Legal, Central Government and Other External Documents, Including Research

- LGA Standards for employers of social workers in England and Supervision Framework (2011)
- GSCC Code of practice
- Skills for Care

1.5 Slough Borough Council References


1.6 Definitions

1.6.1 The main purpose of supervision is to offer professional support & guidance to staff, thus ensuring the quality of service provided to service users. It also has an important role in the development & education of the individual. Performance is managed through the supervision process enhancing the output of both the individual & the team. Supervision should reflect both the needs of the individual worker & the aims & objectives of the service in which they operate.

1.6.2 The overall aims of supervision are to:

- Safeguard CQC and Departmental standards.
- Develop professional expertise
- Manage, enhance & monitor delivery of a high quality service

1.7 Roles

1.7.1 All managers have a responsibility to carry out 1:1’s on a regular basis e.g. monthly at a minimum.
1.8 Authority to Vary the Procedure

- DMT
- SMT
2 THE OVERALL SUPERVISION CONTEXT

2.1 The Aim of Supervision

2.1.1 Supervision is a key component in supporting staff in their role. It provides an opportunity for staff and managers to have regular focussed discussion on work related issues and identify development needs which will enable effective and efficient delivery of social care services. In turn, this assists the Directorate to meet its departmental objectives to improve and deliver high quality services to our service users, whilst providing evidence for both professional development and re-registration purposes to any professional body to which staff are affiliated.

2.1.2 Supervision (or “1 to 1”) is to offer professional support and guidance to all staff, thus ensuring the quality of service provided to service users. This policy and procedure links supervision, appraisal and quality audit as part of the performance management framework.

- **Appraisal** sets the targets for a year and supervision monitors progress against those targets, whilst ensuring staff are supporting and developed to their full potential.

- **Quality auditing** ensures that teams, services and the Directorate have an auditable record to show it is delivering services to the best practice standards

- **Supervision** is made up of three elements:
  - ‘Professional’ supervision which supports continuing professional development requirements of qualified posts, and statutory registration requirements associated with some posts.
  - ‘Workload’ supervision which covers accountabilities for a job role, standards of performance within a role, support and guidance of workload where relevant and necessary.
  - ‘Individual development’ which supports ongoing knowledge, skill and behavioural requirements for job roles, supports succession planning to promote individual personal and career progression.

2.1.3 Supervision has a number of purposes, including:

- To facilitate relevant communication between the supervisor and supervisee
- To ensure the requirements of departmental polices and procedures, and wider legislation are understood and met
- To enable staff the opportunity to make a positive contribution to the Directorate as well as high issues that may impede on the delivery of services
- To support all staff within adult social care to meet the requirements of the GSCC Code of practice, Skills for Care and National Occupational Minimum Standards and other relevant professional bodies
- To support and deliver on the Slough Safeguarding Standards of Practice
- To support and enable the personalisation agenda, including outcome focussed assessments
- To enable two-way dialogue between staff and their manager on a regular basis.
2.2 The Objectives of Supervision

2.2.1 Supervision should value staff, support good practice and share knowledge across the organisation. It should ensure that staff can have a two-way conversation with their supervisor about workload, its complexity and raise any related risks and issues.

2.2.2 Good supervision should allow positive two-way dialogue and promote a range of discussion including:

- Competence, accountability and empowerment
- Anti-discriminatory practice and valuing equality and diversity within the supervisory process, day to day practice and with service users
- Safeguarding vulnerable adult cases
- Continuous improvement of service provision and performance
- Wellbeing and health and safety of all staff
- Enable reflective practice
- Share and celebrate good practice and good work
- Monitor progress against performance targets
- Provide clear links with the annual appraisal process
- Review feedback, ideas and practice received as a result of interaction with service users and other agencies as appropriate
- Effective use of council resources and where appropriate council budgets
- Customer care

3. THE PRINCIPLES OF SUPERVISION

- There are six principles of supervision within our work:
  - Communication
  - Development and training
  - Personal support
  - Accountability
  - Workload planning and management
  - Valuing equality and diversity

3.1 Communication

3.1.1 Supervision should provide opportunities for establishing and maintaining good two-way communication, sharing information about work and consulting with and briefing staff on organisational developments. This includes:

- Supervisors having a responsibility to build rapport with supervisees so they are able to raise issues in a safe environment
- Ensuring language used in supervision is accessible for all supervisees
- Promoting policy, procedures and aims of the organisations
- Receiving mutual feedback on performance and provides an opportunity to suggest ways to develop and improve service delivery
- Identifying and agreeing staff development needs and ways to meet those needs, for example, identification of training pathways
• Reviewing budget/ service pressures relevant to the individual and the part of the organisation in which the individual is employed
• Sharing experiences of good practice
• Allowing an open and honest opportunity for discussion

3.2 Development and Training

3.2.1 Prior to conducting supervision, supervisors must develop competencies to enable them to provide appropriate and constructive supervision. Supervision should provide a forum for ensuring supervisees have the necessary knowledge and skills to carry out the agreed tasks. This includes:
• Ensuring the achievement and updating of qualifications appropriate to job role and in line with legal requirements
• Supporting continuing professional development by monitoring and adjusting the implementation of individual development plans set as part of the annual performance development process; identifying new learning needs as they arrive and responding appropriately
• Evaluating the effectiveness of training and development opportunities as they take place and sharing the learning
• Facilitating a climate for good, creative and reflective practice
• Improving of work practice through reflecting on existing and new ideas and theories, and learning from others
• Developing breadth and depth in professional practice
• Coaching – building confidence and enhancing confidence
• Overseeing induction, probationary and appointment support arrangements
• Discussing career development

3.3 Personal Support

3.3.1 Supervision should be seen as a source of support for employees, recognising the considerable demands inherent in jobs across adult social care and the wider Directorate. Supervision should offer:
• Time for the supervisee to address the impact of the work that they do or experience
• A place to offer positive acknowledgement of good work and achievements, motivation and encouragement
• A time when supervisees can discuss feelings about attitudes towards work – a time when they can ‘off load’ safely and escalate where appropriate for support or resolution
• A time for ensuring that staff are being treated fairly and in a non-discriminatory way
• An opportunity to identify areas of stress, and to formulate strategies to reduce stress
• A time for undertaking and reviewing risk assessments relating to health and safety of the staff member
• A chance to discuss issues which impact upon a person’s ability to do their job (e.g. personal health related issues) and strategies to address them
3.3.2 Where personal issues or problems are affecting work it may be appropriate to identify what these are and on occasions to suggest other support networks such as the Employee Support Scheme. Supervision is a mechanism to complement such support.

3.4 Accountability

3.4.1 Supervision is a key means of ensuring accountability through monitoring work and work performance, checking that work has been completed and upon its quality, appropriateness as well as reviewing practice is consistent with procedures and legislation. This includes:

- Ensuring that relevant set job standards and competencies for your job role are met.
- Ensuring that the statutory and legislative registrations, certificates, qualification, insurances, licences, security checks etc. are up to date so the staff member is able to perform the job role
- Evaluating work and performance to ensure that expectations and standards have been met
- Ensuring that employees clearly understand their role and responsibilities
- Ensuring that quality practice audits are conducted where required for that job role, including monitoring and sampling of work as necessary
- Ensuring and monitoring of standards for record keeping
- Challenging practice
- Providing regular and constructive feedback on overall performance (e.g. strengths and areas for improvement) and ascertaining causes of poor performance and identifying actions to address such issues
- Monitoring progress against objectives set out in the Individual Appraisal
- Monitoring absence
- Monitoring risk taking

3.5 Workload Planning and Management

3.5.1 Supervision is a procedure to support work planning and decisions about what needs doing, by when, to what standards and conveying that to the people doing the work. This includes:

- Planning what needs to be done (objective setting)
- Problem solving – identifying and dealing with existing and potential problems
- Making decisions and giving direction
- Monitoring and managing workload
- Clarifying and setting priorities
- Reviewing timeframes
- Determining appropriate use of resources
- Ensuring accurate recording and use of IAS
- Discussing, reflecting and reviewing individual cases or work projects
- Allocating and ‘de-allocating’ work
3.6 Valuing Equalities and Diversity

3.6.1 It is imperative that we ensure the people we support in the community and our staff who provide such support reflect and celebrate the cultural diversity of our community and do so in a way that is reflective of cultural needs. In supporting all members of our community our practice and work standards must be applied equitably and in a way that is anti-discriminatory. This includes:

- Ensuring, through supervision, staff practice is culturally sensitive to the needs of people they are interacting with and the wider communities in which they are working
- Practice is anti-discriminatory to all people that the supervisee is supporting irrespective of their needs or circumstances

3.6.2 In addition the way we support staff should equally reflect cultural and individual needs. This includes

- Ensuring reasonable adjustments are in place to enable supervisee to perform their role e.g.
  - Additional support for supervisees with special needs to meet role requirements
  - Interpreters for staff where a disability requires this
  - Language translation for staff where English is a second language, when required, to enhance understanding of supervision and role requirements
  - Respect for individual beliefs
- Ensuring supervisees are aware of support available to assist them at work
- Promoting flexible working practices where appropriate and where the exigencies of the role allows

4 PRINCIPLES & STANDARDS

4.1 The standards of supervision within the Community and Wellbeing Directorate are that:

- Every member of staff will receive constructive supervision in line with this policy and their professional development needs
- Supervision will be provided by line managers in a consistent high standard across the Directorate
- The Directorate will support staff to develop skills, access training opportunities in line with the Directorate policy

4.2 All managers and supervisors within the scope of this policy are required to provide supervision for their staff. Because the policy provides for access to supervision at every level in the organisation, managers and supervisors may also be supervisees. It is a key part of the role of all managers, and those providing supervision (the ‘supervisor’) to ensure arrangements for supervision are made and adhered to.

4.3 Where there is an interagency agreement in place, then this supervision policy can be used and applied with agreement of the partner organisation.

4.4 Individual supervision records must be kept for all staff and may be used as part of both internal and external audit processes.
4.5 **The basic supervision standards are as follows:**

- A standard contract & recording sheet will be used. The purpose of these is to give clear & explicit understanding of the responsibilities of the supervisor/supervisee.

- All staff have the right to be treated with respect and to expect confidentiality.

- Meetings should be monthly, as a minimum and be pre-arranged. A typical session should last for no less than an hour.

- Individual supervision sessions should be held in suitable, private rooms. Staff should endeavour to ensure that they are uninterrupted, and start and finish promptly.

- The frequency and length of supervision sessions should take into account the nature of the worker's tasks, their needs and experience, and whenever possible, their own views of what will support them to deliver best performance.

- It is the responsibility of the supervisor to make a record of the supervision session. There should be two copies, signed as accurate by both supervisor and supervisee, and each should maintain a complete supervision record.

- Supervision sessions should include a review of the record of the previous session to ensure that decisions have been carried out, and that reasons for any changes are recorded.

- Safeguarding principles and case management practice should be integral to the supervision process.

- It is the responsibility of the supervisor to ensure an appropriate balance between matters identified as urgent and/or important and other matters, and to ensure that sufficient time is devoted to all agenda items.

- Training and development needs should be discussed as they arise, but should be a specific agenda item.

- In supervision, workload management, the contribution of the supervisee to the team business plan, and any opportunities for the supervisee to contribute to service development should be explored.

- Appraisal should be undertaken annually, to review the worker’s development and fulfilment of objectives, and to set further objectives for the next year.

- Cancellation of supervision should be avoided unless absolutely necessary when it should be agreed mutually & rearranged for as soon as possible.

5 **RIGHTS & RESPONSIBILITY OF THE SUPERVISEE**

- To share responsibility and be committed to making supervision work.

- To accept and establish a supervisory agreement with their supervisor and to keep to that agreement.

- To accept the mandate to be supervised, adhering to codes of professional conduct, recognising the line of accountability.
• To be treated with respect, honesty, and equality within an anti-discriminatory framework.

• To have permission to express feelings and to take responsibility for their own feelings.

• To treat the supervisor with fairness, honesty and respect, and act as a constructive, supportive member of the team.

• To keep to the practical arrangements agreed with the supervisor.

• To prepare an agenda for discussion and participate actively.

• To implement agreements and plans and to inform supervisor if plans cannot be implemented.

• To reflect on and challenge own practice.

• To be active in the pursuit of own development.

• To share issues and be open to feedback.

• To be actively involved in the evaluation of supervision and to discuss any concerns regarding the quality and quantity of supervision. If concerns are not resolved, the Supervisee has a right to raise this with the Supervisor’s line manager.

6 RIGHTS & RESPONSIBILITIES OF THE SUPERVISOR

• To negotiate and establish a supervision agreement with the supervisee and to keep to that agreement.

• To treat the supervisee with respect and as a partner in a working alliance.

• To challenge practice that is considered unethical/ or inappropriate using Professional Codes of Conduct and/or accepted standards of practice.

• To challenge unhelpful assumptions and attitudes which affect practice.

• To act as a resource person.

• To raise issues in performance, including sickness, absence and timekeeping at an early stage directly with the Supervisee before pursuing and more formal action in accordance with SBC policies and procedures.

• To help clarify, provide support and give space to explore feelings & thinking underlying practice.

• To recognise the supervisee’s achievements & development.

• To ensure that the supervisee’s personal development & learning needs are identified and addressed.

• To be treated with respect, honesty and equality.

• To provide support, guidance and agreement on a course of action on important case decisions where there are elements of high risk and anxiety provoking situations.
To remember that supervision is not a conversation.

7 ROLE OF MANAGEMENT

7.1 Overall:

- To ensure that supervision agreements are in place for all employees
- To agree temporary arrangements to cover the absence of any supervisor.
- To recognise that supervising staff should be enabled and supported in making time available.
- To monitor the implementation of the supervision policy, through periodic audits.

7.2 The Directorate Management Team will:

- Provide a framework which can be used to manage and initiate supervision
- Monitor the supervision so that it is consistent, reflective, effective and appropriate, including undertaking spot checks as appropriate
- Ensure statutory and other obligations are met
- Commission training, support coaching and other interventions as necessary to ensure all supervisors are able to conduct and implement the policy.

7.3 Heads of Service/ Service Managers will:

- Ensure that supervision agreements are in place for all employees
- Agree temporary arrangements to cover the absence of any supervisor
- Recognise that supervising staff should be enabled and supported in making time available
- Monitor the implementation of the supervision policy through periodic audits

8. RECORDING

8.1 All supervision needs to be recorded. Appendix C contains a sample supervision record template and Appendix D contains a supervision checklist (including guidance notes) to be carried out as part of the supervision process. Supervision must contain:

- Date of discussion
- Synopsis of the discussion
- Key action points with a record of whose responsibility it is to what by when (include dates)
- Checklist of key issues

8.2 When a supervision record is completed a copy should be provided to the supervisee. They should have an opportunity to comment on anything they believe to be inaccurate. The final agreed set of notes should be signed and dated by both the supervisor and supervisee.

8.3 If there is a discrepancy in views and a consensus of the discussion cannot be reached, the supervision notes should have a written comment at then end of the record signed by both parties.

8.4 Detailed information regarding service users should be recorded in IAS, not supervision records, although there maybe a brief note in the supervision records. Supervisors will ensure that specific cross referencing information is recorded so that it is easy to find the relevant records and clear, when looking at the two sources of information, what was discussed.
8.3 Where necessary, managers may need to record information regarding a supervisee’s performance. This needs to be specific and clear as well as the resulting actions necessary to address any issues.

8.4 Records will need to be completed within 3 working days after the discussion as far as practical after the discussion, and need to be signed by both parties as set out above.

8.5 Supervision records must be retained by both the supervisor and supervisee. These must be kept in a secure place. These remain the property of the Community and Wellbeing Directorate.

8.6 Access to files will be restricted to the supervisor, supervisee, senior manager, and HR as appropriate.

8.7 Supervision files should include a copy of the individual job description, role profile, induction records and appraisal documents.

8.8 Where an employee changes jobs within the Directorate, or the supervisor changes, it is the responsibility of both staff member and the previous supervisor to ensure transfer of supervision records to the new supervisor.

8.9 Where an individual leaves the Council’s employment the completed supervision file should be retained in archives and where appropriate combined with the Personnel files of the individual employee.

9. **PROBLEM SOLVING**

9.1 If issues arise within supervision that cannot be resolved between the parties, the supervisor or supervisee will submit a written statement detailing the issues to the supervisor’s line manager for resolution and problem solving.

9.2 If issues remain the Councils disciplinary or grievance procedures may be invoked.

10. **APPRAISAL**

10.1 Appraisal demonstrates the relationship between individual performance and responsibility of staff members with Team and Service Plans and the performance of Slough Borough Council as a whole.

10.2 Individual performance is linked by appraisal to the Council’s Corporate Strategy and Aims, Directorate Plans, Service Plans and Team Plans, through individual performance targets.

10.3 Appraisal formalises the process between the staff member and the wider organisation, setting and agreeing SMART targets for individual staff on an annual basis in line with business objectives and requirements. There is a requirement to review staff performance against those targets after 6 months and amend, change and record progress at this time.

10.4 Appraisal also formalises a staff members’ identified personal development needs so that they are able to competently fulfil their role. Both this and target setting should “stretch” the individual developing them within their role, and supporting them with any career progression.
APPENDIX A - SUPERVISION CONTRACT

(N.B. This contract may be amended to suit individual circumstances; however it is the responsibility of Supervisors to ensure that all staff have a signed Supervision contract on their Personal file)

Supervision will be a forum for discussion of any issues relating to the areas of work listed below. The aims of supervision will be as set out in the SBC policy but will review performance against standards and plans; provide feedback; identifying any guidance, support and development needs to the supervisee & agreeing appropriate actions:

- Review of actions plans agreed in previous supervision, & progress to date.
- Feedback from meetings
- Service user/client issues: e.g. assessments, care plans, reviews, any safeguarding concerns.
- Staff issues e.g. sickness, time-keeping, leave, management, any other issues.
- Performance management – projects, caseload (including agreeing caseload weightings), budgets, resources, buildings issues. Local and statutory targets and protocols.
- Professional practice: statutory & professional compliance.
- Development & appraisal: progress & any further training needs.
- Health & safety compliance: workplace & community issues.
- Valuing Diversity & issues relating to fair access to services: e.g. practice relating to race, ethnicity, gender, and sexual orientation.
- Relevant personal concerns or other relevant issues from either party.
- The supervisor & supervisee will both meet their responsibilities as set out in the supervision policy, will respect the rights of others & have their rights respected.
- Supervision will promote anti-discriminatory practice & a safe working environment.
- Supervision will be confidential within the confines of line management, NHS & CSCI requirements.

Supervision will take place every …. weeks for ………. hours/minutes. Any change from this should be agreed between the supervisor and supervisee.

Other agreed issues: .......................................................................................................................................

Signed: ........................................................................................................
Supervisee

Signed: ........................................................................................................
Supervisor
## APPENDIX B - SUPERVISION DATE RECORD

**SUPERVISION /APPRAISAL DATES FOR:**

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## COMMUNITY AND WELLBEING

**Name of Manager, Title**

**Department**

**Supervision Notes with (Name of Staff Member)**

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Signed ..........................  Staff Member

Signed ..........................  Line Manager
APPENDIX D – QUALITY CHECKLIST AND GUIDANCE NOTES
To be carried out as part of the supervision process in conjunction with the records template.

SUPERVISION CHECKLIST GUIDANCE NOTES:

Each supervision session to record the following **EVEN IF THERE ARE NO ISSUES** against them (in which case state “NO ISSUES”)

PERFORMANCE INDICATORS
State what the team’s performance indicators are and how the supervisee is contributing to these. Are there things that the supervisor/department can help with? Is the supervisee clear of what is expected of them?

SAFEGUARDING AND MANAGING RISK
- Is the supervisee working on any safeguarding cases? If so then these must be discussed in supervision and decisions for further action recorded or action taken to date sanctioned.
- If the person does not formally hold a safeguarding caseload then the issue of safeguarding concerns and managing risk to be discussed – e.g. are there any Whistleblowing or safeguarding issues or training requirements identified?
- Are they up to date in their training?
- Is the supervisee involved via their clients, with care homes? If so then have the care home inspection reports been reviewed and has this been noted on the client’s records together with a risk profile of both the client and the home.
- Are there any concerns in relation to the inspection reports / care homes? If so have these been reported to the Contracts and Procurement Manager and the Care Governance Policy and Procedures followed to inform all agencies (both local and national) of the potential or actual concern.

TRAINING AND PERSONAL DEVELOPMENT:
Record courses attended and any personal development here – e.g. shadowing, mentoring, practice teaching. How is this contributing to the hours/days study that are needed for professional registration requirements? How is the supervisees appraisal and personal development plan being met – are there gaps identified and what is needed to fill them?

CASELOAD/ RECORDING MONITORING:
Supervisor to identify two service users records (at least one to be a safeguarding one) to audit prior to EACH supervision to ensure that these have all current care plans and assessments up to date or that contact sheets/records are completed and current. Where there is missing information, action to be identified to rectify this and to be checked prior to next supervision. Capacity and training needs to be identified at this point if relevant so support can be given to ensure recording requirements are met.

GOOD PRACTICE:
Supervisor and supervisee to identify areas of good practice and successful pieces of work to celebrate successes and feed into appraisal process. Where appropriate review feedback, ideas and practice received as a result of interaction with service users and other agencies.

COUNCIL RESOURCES AND BUDGETS:
Supervisor and supervisee to identify and discuss areas associated with the effective use of resources and where appropriate council budgets.

CUSTOMER CARE:
Supervisor and supervisee to identify areas of good practice in relation to customer care and discuss areas where greater care and attention may be needed.
PROVIDE CLEAR LINKS WITH THE ANNUAL APPRAISAL PROCESS:
Ensure that the supervision process shows clear and explicit links with the annual appraisal process.

For further information refer to: LGA Standards for employers of social workers in England and Supervision Framework (2011)
## SUPERVISION QUALITY CHECKLIST

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<td>Discussion has focused on the supervisees work ie case actions, outcomes, risks and safeguarding issues</td>
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<td>Discussion has identified any opportunities, training and development needs</td>
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<td>All Actions are recorded with a timescale and action owner.</td>
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<tr>
<td>Appropriate support needs relating to the emotional impact of the work are identified and put in place</td>
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<tr>
<td>IAS records have been reviewed and referenced and the IAS caseload list is accurate for this member of staff</td>
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</tbody>
</table>

**Comments**

**Date**...

**Manager:** ..........................................................  **Employee:** ..........................................................

**Department:** ..........................................................