

Supervision For Mental Health Professionals

Ethical Supervision

Who Am I?



- LPC, NCC, ACS...TUVWXYZ
- All but dissertation, Ph.D. CES
- Director, Student Health and Counseling Services at Lincoln University
- Adjunct, M.Ed. In Counseling at LU
- Husband and Father
- jamie@koinoniacs.com

Is this thing working?

Yes

No

What are some challenges that you have experienced or are apprehensive about in supervision?

Ethical Guidance: Professional Codes

- ACA Code of Ethics:
<https://www.counseling.org/resources/aca-code-of-ethics.pdf>
- NASW Code of Ethics:
<https://www.socialworkers.org/About/Ethics/Code-of-Ethics/Code-of-Ethics-English>
- Missouri Credentialing Board Codes of Ethics:
<https://missouricb.com/wp-content/uploads/2018/01/Treatment-Ethics-Code-January-2018.pdf>
- Approved Clinical Supervisor Code of Ethics:
<https://www.cce-global.org/Assets/Ethics/ACSCodeofethics.pdf>

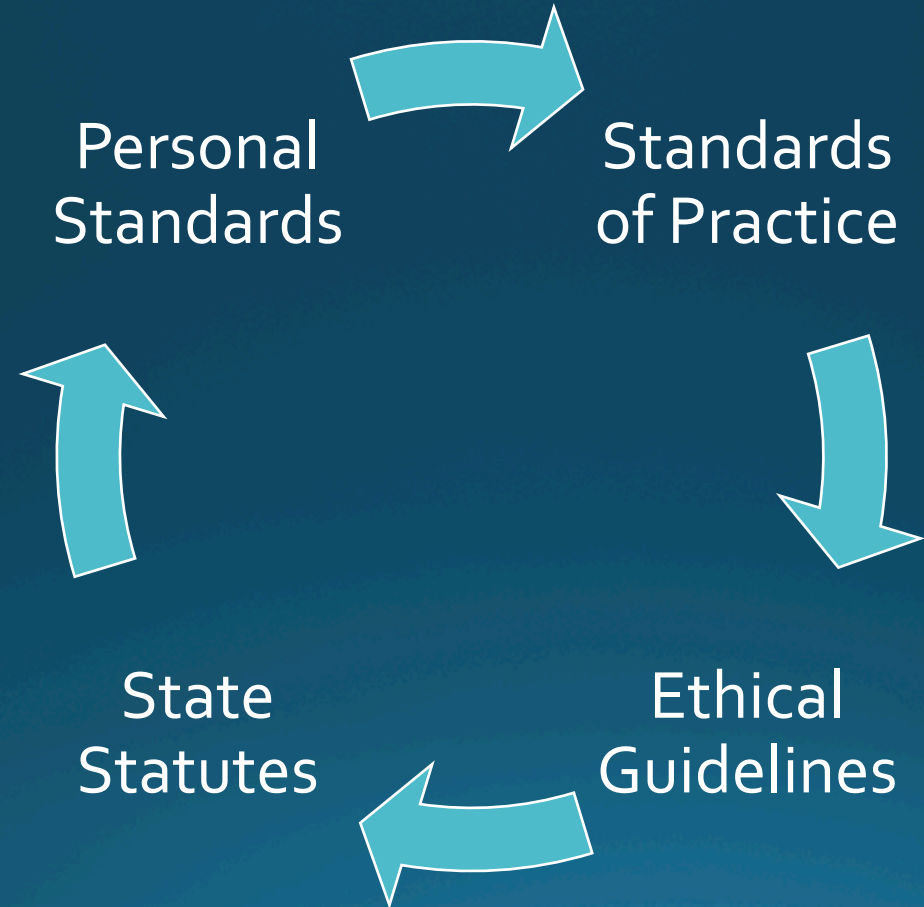
Ethical Guidance: State Standards

- State of Missouri Committee for Professional Counselors: <https://pr.mo.gov/counselors.asp>
- State of Missouri Committee for Social Workers: <https://pr.mo.gov/socialworkers.asp>
- Missouri Credentialing Board: <https://missouricb.com/>

Ethical Guidance: Organizational Policies

Ethical Guidelines: Personal Convictions

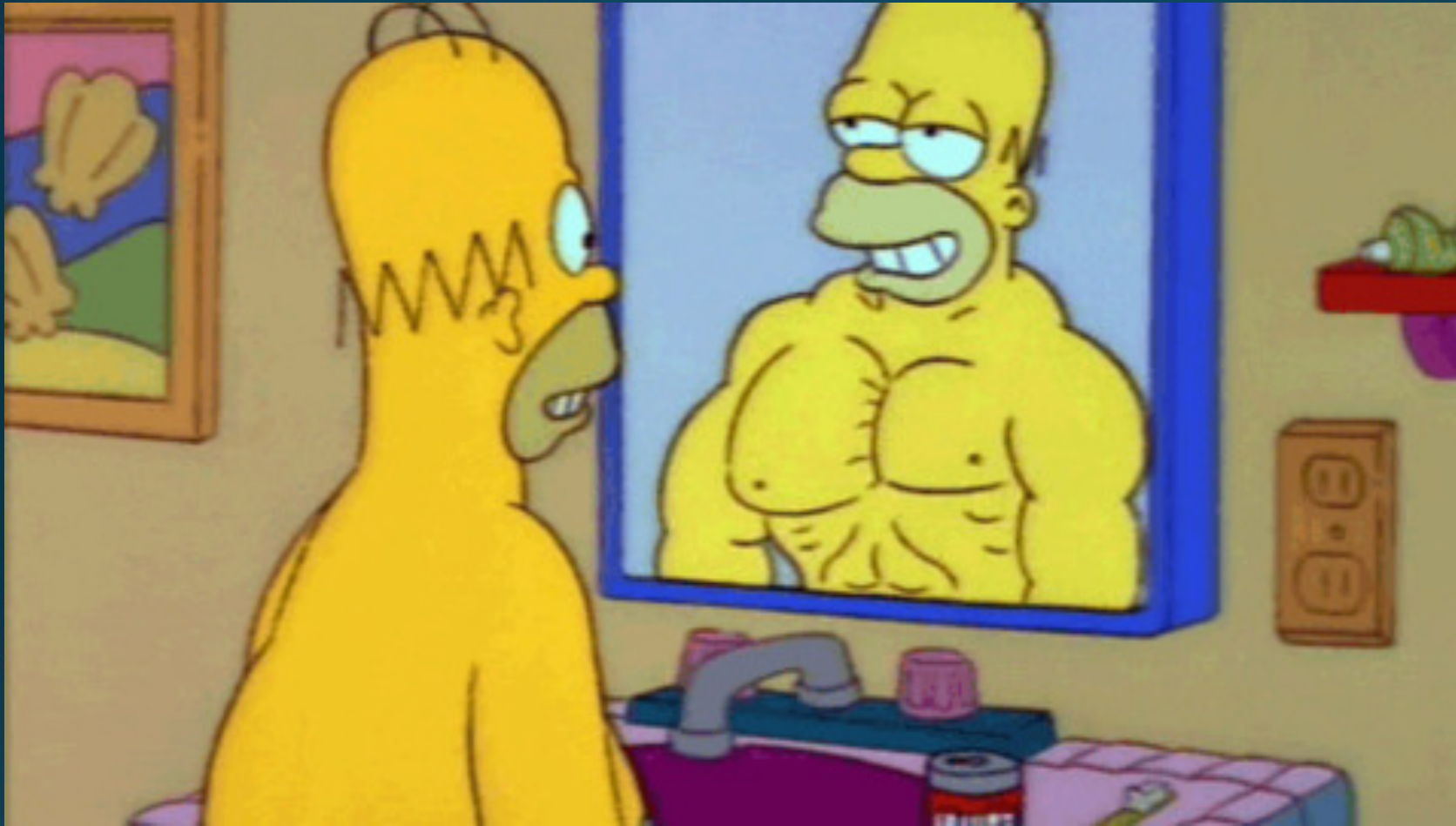
Which came first?



What are ETHICS?

Are we ethical because we follow a code of ethics?

Do we follow a code of ethics because we are ethical?



Ethics Are Our Reflection of Who
We Think We Are



Gray Areas,
huh, what
are they
good for?

Supervision Ethics

- Not a one-and-done!
- Setting up Supervisees for Success!
- Development and Growth throughout the Supervisory Period
- Congratulations! You made it! Now get out.
- Ah, Crap, I've got a case on my hands!

Supervision is not a One-And-Done

- The need for supervision if we are providing counseling/supervision to someone with whom we've had a prior relationship
- The need to seek supervision if we are extending boundaries, i.e. going to a formal ceremony (graduation, wedding, etc.), visiting a client in the hospital, or in the situation that we may purchase an item or a service from a client.
- Seeking peer supervision to monitor effectiveness.

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Parallel Processes And Isomorphism

- Parallel Process occurs when something is happening in the supervisee-client relationship that is then mirrored in the supervisor-supervisee relationship.
- Isomorphism are the similarities in structure and activities in supervision and counseling.

Setting Up Supervisees for Success

- Full Disclosure
- Professional Development Plans

As a Supervisee, did your supervisor present you with a full disclosure document for supervision that you both reviewed and signed?

Yes

No

As a Supervisor, do you have a full disclosure for supervision document that you review with your supervisee and you both sign?

Yes

No

Full Disclosure for Supervision

1. Your name, business address and telephone number;
2. A listing of your degrees, credentials and licenses;
3. The general competency areas for which you are qualified to provide supervision (e.g., addictions counseling, career counseling);
4. A statement documenting your training in supervision and experience in providing supervision;
5. A general statement addressing your model of or approach to supervision, including role of the supervisor, objectives and goals of supervision, and modalities (e.g., tape review, live observation);

Full Disclosure for Supervision

6. A description of the evaluation procedures you use in the supervisory relationship;
7. A statement defining the limits and scope of confidentiality and privileged communication within the supervisory relationship and with your own supervisor if applicable;
8. A statement regarding termination (successful and unsuccessful)
9. A fee schedule or statement of free service;
10. Emergency contact information where your supervisee can reach you in the event of an emergency (including who they should contact if you are unavailable).
11. A statement describing to which Code of Ethics you adhere and expect your supervisee to adhere

Did you as supervisees create with your supervisors a professional development plan?

Yes

No

Professional Development Plans

- What should be in it?
 - Substantive knowledge of the practice of professional counseling
 - Ability to establish and maintain good interprofessional relations
 - Possession of emotional maturity, stability, and temperamental characteristics required for performance as a professional counselor
 - Understanding of and adherence to standards of professional and ethical conduct
 - Personal character: honesty, integrity, and general conduct
 - Reputation among colleagues
 - Capacity for professional growth and development

Professional Development Plan

Why should these things be in it?

Professional Co. X PR Verification of Post Degree Cou X +

https://pr.mo.gov/boards/counselors/Verification_of_Post_Degree_Experience.pdf

ent contains forms. The filling of form fields is not supported.

2 of 2 Automatic Zoom

12. DID YOU READ AND COSIGN ALL WRITTEN REPORTS, IF NO PLEASE EXPLAIN? YES NO

13. INDICATE YOUR EVALUATION OF THE COUNSELOR-IN-TRAINING OR PLPC BY PLACING A CHECKMARK IN THE APPROPRIATE COLUMN.

	NOT ACCEPTABLE	AVERAGE	ABOVE AVERAGE	VERY GOOD
A. SUBSTANTIVE KNOWLEDGE OF THE PRACTICE OF PROFESSIONAL COUNSELING.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B. ABILITY TO ESTABLISH AND MAINTAIN GOOD INTERPROFESSIONAL RELATIONS.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
C. POSSESSION OF EMOTIONAL MATURITY, STABILITY, AND TEMPERAMENTAL CHARACTERISTICS REQUIRED FOR PERFORMANCE AS A PROFESSIONAL COUNSELOR	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
D. UNDERSTANDING OF AND ADHERENCE TO APPROVED STANDARDS OF PROFESSIONAL AND ETHICAL CONDUCT.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
E. PERSONAL CHARACTER: HONESTY, INTEGRITY AND GENERAL CONDUCT.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
F. REPUTATION AMONG COLLEAGUES.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
G. CAPACITY FOR PROFESSIONAL GROWTH AND DEVELOPMENT	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
H. I WOULD RATE THIS APPLICANT'S OVERALL PERFORMANCE UNDER BY SUPERVISION AS:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

14. RECOMMENDATION FOR LICENSURE

WITHOUT RESERVATION DO NOT RECOMMEND (ATTACH EXPLANATION)

WITH RESERVATION (ATTACH EXPLANATION)

III. SUPERVISOR ATTESTATION

I hereby affirm under penalties of perjury that I am the supervisor named in this verification and that all statements and enclosures herein are true and accurate to the best of my knowledge, information and belief.

SIGNATURE	DEGREE	DATE
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“Begin with the end in mind.”

The image shows a web browser window with multiple tabs. The active tab displays a PDF document titled "COMPETENCY RATING FORM". The browser address bar shows the URL: <https://missouricb.com/wp-content/uploads/2018/12/CRADC-January-2019.pdf>. The PDF content includes instructions for supervisors and a list of practice dimensions to be rated.

COMPETENCY RATING FORM
1=Understands; 2=Developing; 3=Competent; 4=Skilled; 5=Master

INSTRUCTIONS FOR SUPERVISOR: On this form, a MCB qualified supervisor should rate the competency of the applicant in the 10 listed areas using the rating scale 1-5 given above. For help in determining a rating for a particular area use the competency rating forms found in your clinical supervision manual and/or the TAP 21.

(MCB qualified supervisor includes an individual who holds a CRADC, CRAADC, CCJP, CCDP, CCDP-D, RADC, RADC-P, LPC, LCSW, LMFT or Licensed Psychologist and who has completed the MCB Clinical Supervision Training. This cannot be an immediate family member)

Practice Dimension	Rating
Clinical Evaluation – Screening	_____
Clinical Evaluation – Assessment	_____
Treatment Planning	_____
Referral	_____
Individual Counseling	_____
Group Counseling	_____
Family Counseling	_____
Client, Family, and Community Education	_____
Documentation	_____
Professional/Ethical Responsibilities	_____

Total Rating Score _____
(Please add the scores together for each of the above practice dimensions to get a total rating score)

Applicant's Name: _____
Name of Supervisor (Print): _____

RECOMMENDATION FOR LICENSURE
 Without Reservation With Reservation Do Not Recommend

PLEASE PROVIDE ANY ADDITIONAL INFORMATION REGARDING THE EVALUATION ABOVE THAT YOU CONSIDER RELEVANT.

Supervision Ethics

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- Development and Growth throughout the Supervisory Period
- Congratulations! You made it! Now get out.
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How often during your supervision were supervisory sessions documented through written notes or other documentation method?

Every session was documented.

Most sessions were documented.

Less than half of sessions were documented

None of the supervisory sessions were documented.

Development and Growth

- On-going documentation is necessary for demonstrating development and providing feedback for evaluation.

Documenting Smarter, Not Harder

- Direct, Indirect, and Total Hours of Services
- Specifics of the Supervisory Session
- How this relates to Professional Development Plan
- Make the supervisee do it.

**Professional Development Plan
and Weekly Supervision Note**
Supervisee's Name

Total Hours so far:	Direct:	Indirect:	Total:
Week of:	Direct Hours	Indirect Hours	Total Hours

Professional Development Plan:

1. Substantive knowledge of the practice of professional counseling
2. Ability to establish and maintain good interprofessional relations
3. Possession of emotional maturity, stability, and temperamental characteristics required for performance as a professional counselor
4. Understanding of and adherence to standards of professional and ethical conduct
5. Personal character: honesty, integrity, and general conduct
6. Reputation among colleagues
7. Capacity for professional growth and development

Weekly Supervision Note	
Date:	
Data:	Who/What/When/Where
Objective:	Summary of our conversation
What worked?	3 Things that worked for you
What didn't work?	Anything that I as a supervisor could have done better
Plan	When's our next appointment and what do you want to do?
Supervisor Response:	

Documenting Smarter, Not Harder

When Remediation is Necessary

1. Identify the problem:

- Be specific
- Conceptualizing the issue

Conceptualizing the Issue

	Professional Standards	State/Federal Regulations	Codes of Ethics	Organizational Policy
Performance				
Conduct				

When Remediation is Necessary

2. Brainstorm possible hypotheses and solutions to the issue

- What is motivating the errant behavior?
- No solution is initially off the table
- Make use of consultation (What have others done?)

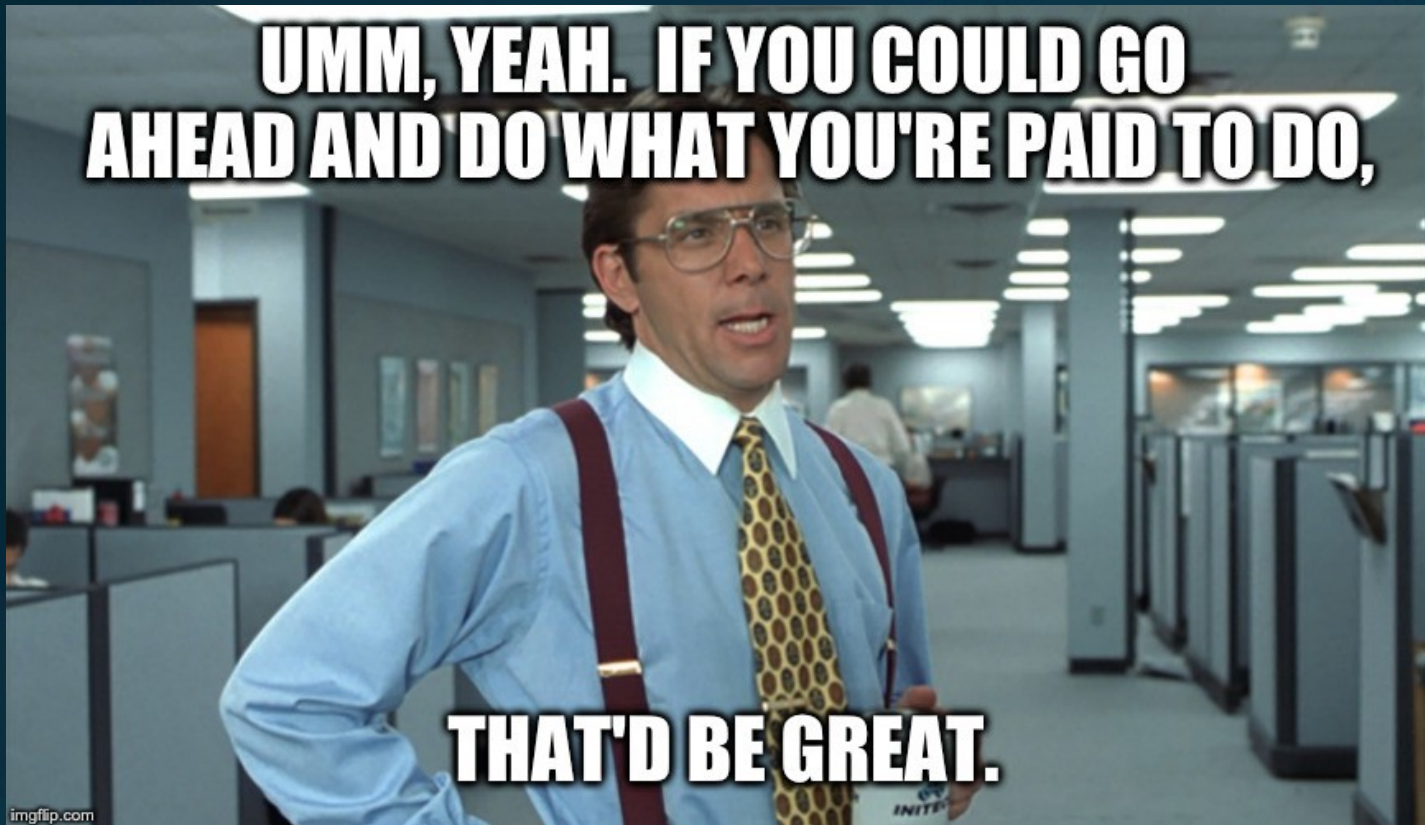
When Remediation is Necessary

3. Evaluate the options for addressing it
 - Again, start with the end in mind. What do you want to happen instead?
 - Is there research that can inform what the best practice may be?

When Remediation is Necessary

4. Implement the solution that addresses the problem and is in line with best practices

- Early on, head on
- Specific directions about how to proceed to address the specific problem.



When Remediation is Necessary

5. Evaluate the intervention

- The intervention you used should have produced some result. If it did not produce the expected improvement, perhaps we misconceptualized the problem or applied the wrong intervention. Back to step 1.

Every step of the process is documented in the notes.

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 - On-going supervision is a requirement of our professions.
- Setting up Supervisees for Success!
 - Full disclosure and Professional Development Plan create expectations and goals for supervisees to meet.
- Development and Growth throughout the Supervisory Period
 - Documenting growth and remediation through consistent written notes
- Congratulations! You made it! Now get out.
- Ah, Crap, I've got a case on my hands!

How helpful was your supervisor when your supervisory period ended?

Very helpful. My supervisor knew exactly what to do and helped me complete what I needed to do.

Somewhat helpful. We figured it out without too much trouble.

Less than helpful. My supervisor told me what to do, but didn't follow up.

My supervisor said, "Don't let the door hit you on your way out!"

Successful Termination of Supervision

The supervisee must continue under supervision until full licensure/certification is awarded.

Icky Terminations

Your documentation is your best friend!

Lawsuits can happen, and you need to lawyer up and keep your notes.

Icky Terminations

Immediate Terminations due to egregious violation of ethical guidelines, state/federal regulations, and organizational policy.

- Your Full Disclosure of Supervision explained:
 - Egregious ethical violations will result in immediate termination
 - The supervisee must cease all counseling activities immediately
 - Supervisor must report to the appropriate board/organization immediately the ethical violation
 - Supervisor will cooperate with all investigation procedures
- You're documenting everything as it is happening

Icky Terminations

Termination after continued unsuccessful practice

- Should not come as a surprise to the supervisee.
- Full Disclosure informed them that this is a possibility
- On-going documentation has demonstrated your attempts to address the errant behavior.
- You have addressed the errant behavior in terms of standards, not preferences.
- Conceptualize this in terms of client need: just like some clients need treatment that I cannot provide, some supervisees need guidance that is beyond what I am capable of providing.
- Set a timeline (which you can define in the Full Disclosure) and assist with a referral.

Questions & Comments

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