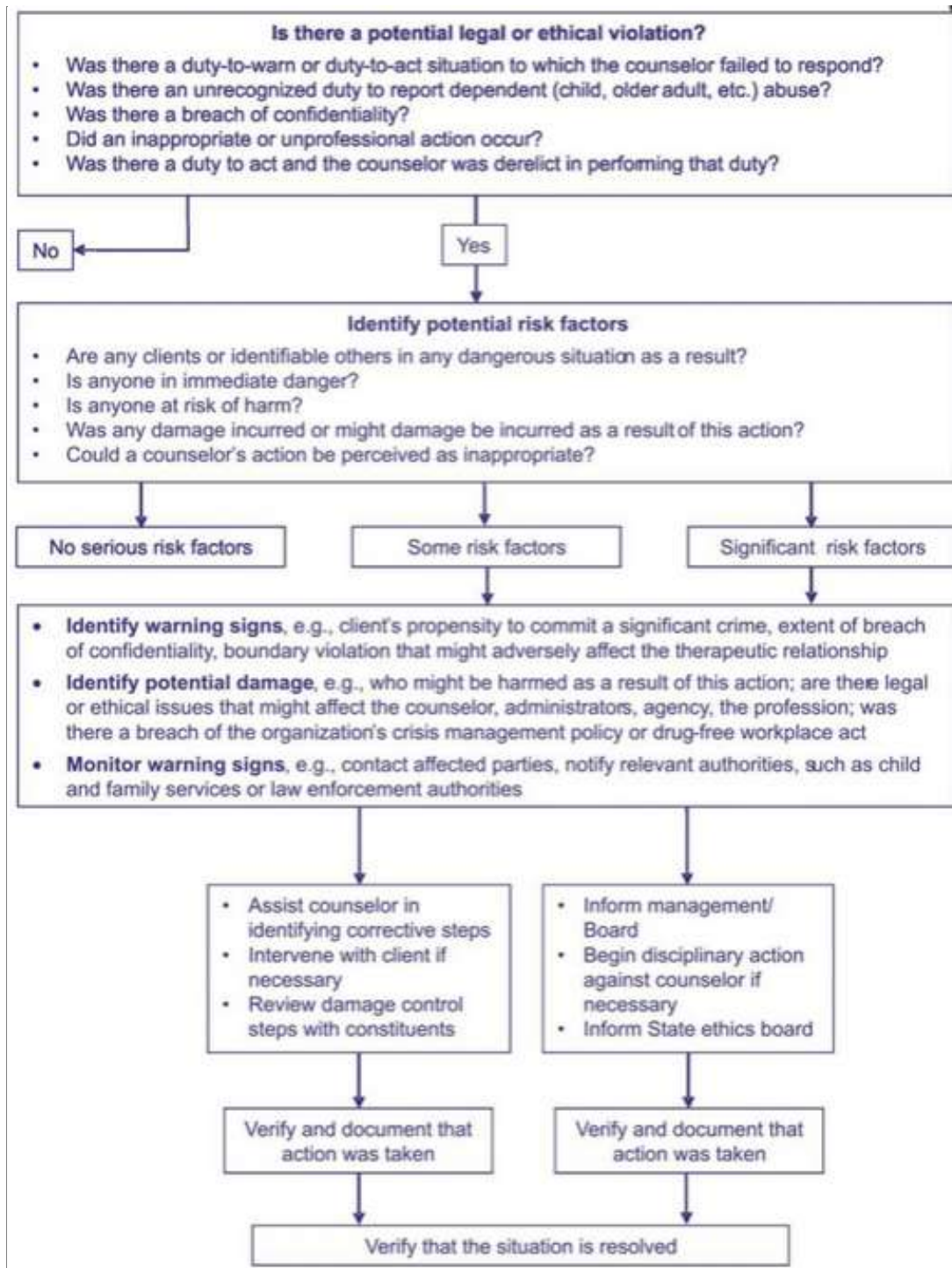


Clinical Supervision and Professional Development of the Substance Abuse Counselor

<http://www.ncbi.nlm.nih.gov/books/NBK64845/>

Deciding How to Address Potential Legal or Ethical Violations



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Differences Between Supervision and Counseling

	Clinical Supervision	Administrative Supervision	Counseling
Purpose	<ul style="list-style-type: none"> <li>Improved client care</li> <li>Improved job performance</li> </ul>	<ul style="list-style-type: none"> <li>Ensure compliance with agency and regulatory body's policies and procedures</li> </ul>	<ul style="list-style-type: none"> <li>Personal growth</li> <li>Behavior changes</li> <li>Better self-understanding</li> </ul>
Outcome	<ul style="list-style-type: none"> <li>Enhanced proficiency in knowledge, skills, and attitudes essential to effective job performance</li> </ul>	<ul style="list-style-type: none"> <li>Consistent use of approved formats, policies, and procedures</li> </ul>	<ul style="list-style-type: none"> <li>Open-ended, based on client needs</li> </ul>
Timeframe	<ul style="list-style-type: none"> <li>Short-term and ongoing</li> </ul>	<ul style="list-style-type: none"> <li>Short-term and ongoing</li> </ul>	<ul style="list-style-type: none"> <li>Based on client needs</li> </ul>
Agenda	<ul style="list-style-type: none"> <li>Based on agency mission and counselor needs</li> </ul>	<ul style="list-style-type: none"> <li>Based on agency needs</li> </ul>	<ul style="list-style-type: none"> <li>Based on client needs</li> </ul>
Basic Process	<ul style="list-style-type: none"> <li>Teaching/learning specific skills, evaluating job performance, negotiating learning objectives</li> </ul>	<ul style="list-style-type: none"> <li>Clarifying agency expectations, policies and procedures, ensuring compliance</li> </ul>	<ul style="list-style-type: none"> <li>Behavioral, cognitive, and affective process including listening, exploring, teaching</li> </ul>

Source: Adapted from Dixon, 2004

Informed Consent

The purpose of supervision:

- Goals of supervision -
- How goals will be evaluated and the specific timeframes -
- Specific expectations of the
  - supervisor -
  - supervisee -
- Integration of theoretical models
  - Competency-based -
  - Treatment-based -
  - Developmental -
  - Integrated -

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### Professional disclosure:

Victor Bloomberg, LCSW – license and credentials are on file with the agency.

<http://www.vblcsw.com/documentation.html>

Career information:

<https://www.linkedin.com/pub/victor-bloomberg-lcsw/10/537/5aa>

### Supervision process:

- Individual face-to-face – weekly
- Direct observation – available on written request
- Case note review – During individual supervision, additional by agency written request

### Due Process:

Agency policies and procedures will be filed for any grievance or complaint against the administration, the supervisor, or the counselor. It ensures that all sides are heard and that the complaint and response to the complaint receive due consideration. In this case, informed consent means that all parties are aware of the process for lodging a complaint.

### Confidentiality:

The supervisor and the supervisee have transparent communication the agency administrator in accord with Supervision Agreement, as well as agency policies and procedures. The primary concern that guides communication is the welfare of each client. The process of informed consent shall guide the expansion of communication beyond the parties identified in the Supervision Agreement and this outline of SAMHSA best practices.

The supervisee shall disclose and document through the process of informed consent that the client understands the fact of supervision and discussion/review of treatment with the supervision. The disclosure includes acknowledgment of enhanced quality through supervision.

### Records of supervision:

- Agreements signed by both parties.
- A brief summary of the supervisee's experience, training, and learning needs.
- The current Individual Development Plan.
- A summary of all performance evaluations.

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- Notations of all supervision sessions, including cases discussed and significant decisions made.
- Notation of cancelled or missed supervision sessions.
- Progressive discipline steps taken.
- Significant problems encountered in supervision and how they were resolved.
- Supervisor’s clinical recommendations provided to supervisees.
- Relevant case notes and impressions.

### Current Risk-Management Review

Case:	Date:	
<b>ISSUES</b>		
<ul style="list-style-type: none"> <li>○ Informed Consent</li> <li>○ Parental Consent</li> <li>○ Confidentiality</li> <li>○ Recordkeeping</li> <li>○ Records Security</li> <li>○ Child Abuse/Neglect</li> <li>○ Risk of Significant Harm</li> <li>○ Duty to Warn</li> <li>○ Medical Exam Needed</li> </ul>	<ul style="list-style-type: none"> <li>○ Supervisee Expertise</li> <li>○ Supervisor Expertise</li> <li>○ Institutional Conflict</li> <li>○ Dual Relationship</li> <li>○ Sexual Misconduct</li> <li>○ Releases Needed</li> <li>○ Voluntary/Involuntary Hospitalization</li> <li>○ Utilization Review</li> <li>○ Discharge/Termination</li> </ul>	
Discussion:		
Recommendation:		
Action:		
Signature	Date	Title

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### Supervisory Interview Observations

SUMMARY OBSERVATIONS	OBSERVATIONS, BEHAVIORS, NOTES
Interview structure followed?	
Time managed effectively?	
Established nurturing and supportive environment?	
Stayed on course?	
Resistance? Power struggle?	
Agreement secured?	
Follow-up plan created?	
NOTES:	

### Evaluation of Victor Bloomberg, LCSW by Supervisee

<p><b>Rating Scale: 1 - Disagree   2 - Neutral   3 – Agree &gt;&gt; Follow rating with a comment</b></p> <p><b>Counselor Behavior</b></p> <ul style="list-style-type: none"> <li>1. Provides useful feedback regarding counselor behavior</li> <li>6. Focuses on alternative counseling strategies to be used with clients</li> <li>7. Focuses on counseling behavior</li> <li>8. Encourages the use of alternative counseling skills</li> <li>15. Motivates the counselor to assess counseling behavior</li> <li>16. Conveys a sense of competence</li> <li>21. Encourages expression of opinions, questions, and concerns about counseling</li> <li>24. Provides an opportunity to discuss adequately the major difficulties the counselor is facing with clients</li> <li>30. Focuses on the implications and consequences of specific counseling behaviors</li> <li>31. Provides suggestions for developing counseling skills</li> <li>32. Encourages the use of new and different techniques</li> <li>41. Discusses cultural and contextual issues of the client, family, and wider systems that open up new resources and avenues for support.</li> </ul> <p><b>Supervision Environment</b></p> <ul style="list-style-type: none"> <li>2. Promotes an easy, relaxed feeling in supervision</li> <li>9. Structures supervision appropriately</li> <li>12. Involves the counselor in the supervision process</li> <li>13. Helps the supervisee feel accepted and respected as a person</li> <li>14. Appropriately deals with affect and behavior</li> <li>18. Appropriately addresses interpersonal dynamics between self and counselor</li> <li>19. Can accept feedback from counselor</li> <li>20. Helps reduce defensiveness in supervision</li> <li>26. Motivates and encourages the counselor</li> </ul>
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<p>28. Gives the counselor the chance to discuss personal issues as they relate to counseling</p> <p>29. Is flexible enough to encourage spontaneity and creativity</p> <p>33. Helps define and achieve specific, concrete goals</p> <p>37. Allows and encourages self-evaluation</p> <p>40. Addresses cultural issues of supervisee in a helpful manner.</p>
<p><b>Learning Process</b></p> <p>3. Makes supervision a constructive learning process</p> <p>4. Provides specific help in areas needing work</p> <p>5. Addresses issues relevant to current clinical conditions</p> <p>10. Emphasizes the development of strengths and capabilities</p> <p>11. Brainstorms solutions, responses, and techniques that would be helpful in future counseling situations</p> <p>22. Prepares the counselor adequately for the next counseling session</p> <p>23. Helps clarify counseling objectives</p> <p>25. Encourages client conceptualization in new ways</p> <p>27. Challenges the counselor to perceive accurately the thoughts, feelings, and goals of the client</p> <p>34. Gives useful feedback</p> <p>35. Helps organize relevant case data in planning goals and strategies with clients</p> <p>38. Explains the criteria for evaluation clearly and in behavioral terms</p> <p>39. Applies criteria fairly in evaluating counseling performance</p>
<p><b>Not Applicable</b></p> <p>17. Helps to use tests constructively in counseling</p> <p>36. Helps develop skills in critiquing and gaining insight from counseling tapes</p>

### Counselor Competency Assessment

Competency Area	Needs Improvement	Able to Perform Skill	Proficient	Consistent Mastery
<b>Understand Substance Use Disorders</b> <ul style="list-style-type: none"> <li>• Models and theories</li> <li>• Recognize complex context of substance abuse</li> </ul>				
<b>Treatment Knowledge</b> <ul style="list-style-type: none"> <li>• Philosophies</li> <li>• Practices</li> <li>• Outcomes</li> </ul>				
<b>Application to Practice</b> <ul style="list-style-type: none"> <li>• DSM-IV-TR</li> <li>• Repertoire of helping strategies</li> <li>• Familiar with medical and pharmacological resources</li> </ul>				
<b>Diversity and Cultural Competence</b> <ul style="list-style-type: none"> <li>• Understand diversity</li> </ul>				

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Competency Area	Needs Improvement	Able to Perform Skill	Proficient	Consistent Mastery
<ul style="list-style-type: none"> <li>Use client resources</li> <li>Select appropriate strategies</li> </ul>				
<b>Clinical Evaluation</b> <ul style="list-style-type: none"> <li>Screening</li> <li>Assessment</li> </ul>				
<b>Assess Co-Occurring Disorders</b> <ul style="list-style-type: none"> <li>Symptomatology</li> <li>Course of treatment</li> </ul>				
<b>Treatment Planning</b> <ul style="list-style-type: none"> <li>Based on assessment</li> <li>Individualized</li> <li>Ensure mutuality</li> <li>Reassessment</li> <li>Team participation</li> </ul>				
<b>Referral and Follow-up</b> <ul style="list-style-type: none"> <li>Evaluate referrals</li> <li>Ongoing contact</li> <li>Evaluate outcome</li> </ul>				
<b>Case Management</b>				
<b>Group Counseling</b> <ul style="list-style-type: none"> <li>Group theory</li> <li>Describe, select, and use appropriate strategies</li> <li>Understand and work with process and content</li> <li>Facilitate group growth</li> </ul>				
<b>Family, Couples Counseling</b> <ul style="list-style-type: none"> <li>Theory and models</li> <li>Understand characteristics and dynamics</li> <li>Describe, select, and use appropriate strategies</li> </ul>				
<b>Individual Counseling</b> <ul style="list-style-type: none"> <li>Theory of individual counseling</li> <li>Describe, select, and use appropriate strategies</li> <li>Understand functions and techniques of individual counseling</li> </ul>				

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Competency Area	Needs Improvement	Able to Perform Skill	Proficient	Consistent Mastery
<b>Client, Family, and Community Education</b> <ul style="list-style-type: none"> <li>• Culturally relevant</li> <li>• Provide current information</li> <li>• Teach life skills</li> </ul>				
<b>Documentation</b> <ul style="list-style-type: none"> <li>• Knowledge of regulations</li> <li>• Prepare accurate, concise notes</li> <li>• Write comprehensive, clear psychosocial narrative</li> <li>• Record client progress in relation to treatment goals</li> <li>• Discharge summaries</li> </ul>				
<b>Professional and Ethical Responsibilities</b> <ul style="list-style-type: none"> <li>• Adhere to code of ethics</li> <li>• Apply to practice</li> <li>• Participate in supervision</li> <li>• Participate in performance evaluations</li> <li>• Ongoing professional education</li> </ul>				

### Professional Development Plan

Victor Bloomberg, LCSW – Supervisor   Supervisee:	Date
Competency Area:	
Present Rating:	
1 Understands	2 Developing
3 Competent	4 Skilled
5 Master	
1 = Understands	Comprehends the tasks and functions of counseling
2 = Developing	Applies knowledge and skills inconsistently
3 = Competent	Consistent performance in routine situations
4 = Skilled	Effective counselor in most situations
5 = Master	Skillful in complex counseling situations
Describe the counselor’s strengths and challenges for this rating	
Expected level of competency to be achieved with this learning plan:	
1 Understands	2 Developing
3 Competent	4 Skilled
5 Master	
Describe the goal for this learning plan in observable terms:	
List the Knowledge, Skills, and Attitudes relevant to achieving the target competency.	



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Knowledge	
Skills	
Attitudes	
State the performance goal in specific behavioral terms:	
What activities will the counselor complete in order to achieve the stated goal?	
How will progress be evaluated? How will proficiency be demonstrated?	
Supervisor Signature	Date
Counselor Signature	Date
<b>UPDATE</b>	
Date of "re-observation" _____	
Demonstration of knowledge and skills successful? <input type="checkbox"/> Yes <input type="checkbox"/> No	
If "No," demonstration needs the following correction and follow-up demonstration rescheduled:	
Supervisor Signature	Date
Counselor Signature	Date

### Statement of Understanding and Agreement

**The undersigned acknowledge this SAMHSA guided initiation of supervision has been reviewed and completed together and forms the foundation of understanding for supervision.**

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ACSW /MFT Intern, BBS Registration Number, Signature and Date

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V. Bloomberg, LCSW Signature and Date