

MODULE 6: Performance Evaluation

INSTRUCTOR'S OUTLINE

NOTES

INSTRUCTIONAL METHODS

- Presentation
- Case study
- Practice exercises
- Discussion

PARTICIPANT MATERIALS

- Participant Workbooks
- *Performance Assessment Rubrics for the Addiction Counseling Competencies* (Gallon and Porter, 2011)
- *Addiction Counseling Competencies: The Knowledge, Skills and Attitudes of Professional Practice* (CSAT, 2006)

TRAINING AIDS

- PowerPoint slides 6-1 through 6-26 on computer disk
- LCD projector or overhead projector and screen
- Easel pad or white board, markers, and masking tape

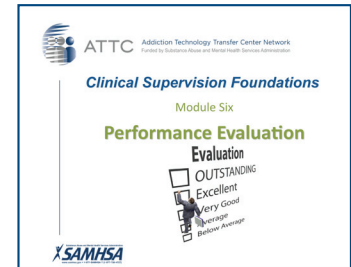
INSTRUCTIONAL RESOURCES

- *Competencies for Substance Abuse Treatment Clinical Supervisors* (CSAT, TAP 21-A, 2007)
- *Clinical Supervision and Professional Development of the Substance Abuse Counselor* (CSAT, TIP 52, 2009)

ROOM SET-UP

- Round or rectangle tables for about six participants each to allow for discussion and ample space for use of participant materials and exercises

240 minutes



6-1 Module Title

MODULE 6: Performance Evaluation

INSTRUCTOR'S OUTLINE

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RECAP & INTRODUCTION

> (5 minutes)

Set the context for the current module by reviewing the topics covered to date:

- Module 1: Definition, Roles and Responsibilities
- Module 2: Personal Model of Supervision
- Module 3: Supervisory Alliance
- Module 4: Modalities and Methods
- Module 5: Counselor Development

Then introduce the module by reviewing the purpose and learning objectives.

PURPOSE

Reinforce performance evaluation as an essential component of clinical supervision. Review issues that potentially affect evaluation and then present and practice methods for assessing counselor proficiency, providing feedback and structuring supervisory interviews.

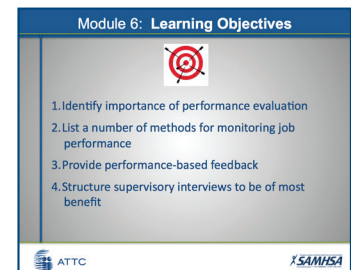
LEARNING OBJECTIVES

Participants will be able to:

1. Identify importance of on-going, timely, and objective performance evaluation to both the supervisee and the agency.
2. List a number of methods for monitoring counselor job performance.
3. Provide performance-based feedback to the supervisee.
4. Structure supervisory interviews to be of most benefit to the supervisee and the agency.



6-2 Recap



6-3 Learning Objectives

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ROLE OF PERFORMANCE EVALUATION

> (5 minutes)

A brief presentation of the purpose of evaluation as an essential supervisory responsibility. Emphasize that performance evaluation serves these functions:

1. Provides a process by which job performance and professional development can be assessed within the context of a supportive alliance between supervisor and supervisee,
2. Links counselor performance with criteria and methods of evaluation.
3. Engages supervisees in a process of continuous learning and development, and
4. Assures staff conformity to agency mission, delivery of quality services, and protection of client safety.

Additional talking points about each of these three functions are presented in the Participant Workbook on page 49.

CASE STUDY ACTIVITY

> (15 minutes)

Ask participants to read a brief summary of a clinical situation in the workbook on page 50. After reading, pose the following questions in a large group discussion format. Note the responses on a easel pad.

ASK

What are some issues of concern within the scenario?

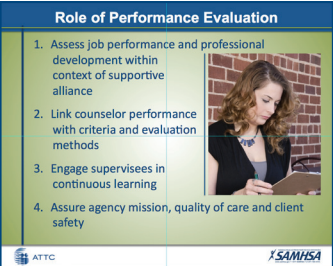
TRAINER NOTE:

Note the differences in what participants identify and the assumptions made based on the minimal information in the case study. Although most participants will identify some common areas of interest; others will point out concerns that they will be more passionate about correcting.

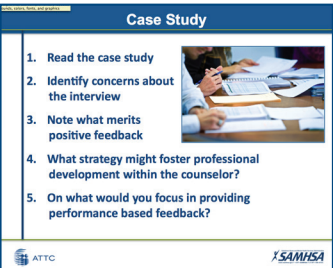
TRAINER NOTE:

Some possible issues include:

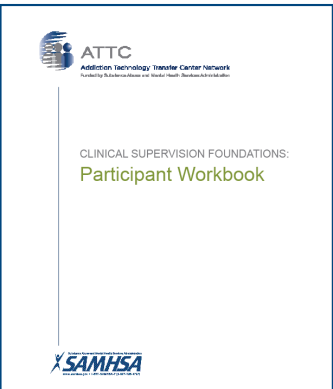
- Doing a depression or suicide screening
- Needing to establish immediate plans for the interim prior to the next appointment
- Assuring safety of Laura and the children
- Seeking immediate consultation with a supervisor



6-4 Role of Performance Evaluation



6-5 Case Study



Participant Workbook pp 49-50



Easel pad and markers

MODULE 6: Performance Evaluation

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ASK

What positive feedback could you provide the counselor? Providing positive feedback encourages counselors and creates a more positive attitude toward clinical supervision. Note how difficult it would be to provide accurate feedback without first hand objective data.

TRAINER NOTE:

Some possible positive feedback:

- Megan established rapport quickly with Tony
- The counselor listened well and facilitated Tony's disclosure about his drug use and its impact on his health

ASK

What feedback about your concerns would you give to the counselor?

TRAINER NOTE:

Feedback could include:

- The need to assess for suicidal thinking
- Importance of inquiring about and planning ways to meet client's personal needs during the next week

ASK

What strategy or tactic could the supervisor use to identify alternatives for managing the situation during the interview? What could the supervisor do that might lead to an expansion of the counselor's knowledge and skills?

TRAINER NOTE:

Some possible strategies:

- Inquire about Megan's thoughts and feelings during the interview,
- Review crisis management principles,
- Teach how to conduct a mental status exam, and
- Consult immediately with a supervisor.

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REVIEW METHODS FOR MONITORING PERFORMANCE

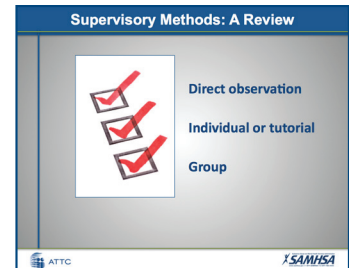
> (5 minutes)

Briefly review the direct methods introduced in Module 4 and summarized in the Participant Workbook on page 52. Remind the group about the several forms of:

- Observation – Live, through a one-way mirror, and audio or video recording
- Individual methods – Role play, interpersonal process recall, motivational interviewing
- Group strategies – Case consultation, team or peer feedback, and skill practice.

NOTE:

1. **Direct sources of information about job performance can be supplemented with less direct client assessments and peer evaluations**, which can be gathered anonymously. Each has the potential to provide useful information to the supervisee, depending on the questions asked.
2. **Another way to assess performance is through the use of fidelity scales** which measure adherence to specific evidence-based practices. Often both the clinician and the supervisor complete a fidelity assessment and review the results together, working to assure as much conformance as possible to the practice in question.
3. **Agencies may also have specific performance measures** that will also be important in assessing counselor ability to perform expected duties. An annual performance evaluation is common among agencies. If on-going formative counselor assessments are being performed on a regular basis, the information will provide the necessary data for the annual summative performance evaluation.



6-6 Methods Review

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PERFORMANCE ASSESSMENT RESOURCES

> (10 minutes)

TRAINER NOTE:

Trainer next presents the idea that once performance observations have been completed, the supervisor needs to assess the degree to which the counselor is proficient in delivering the services and work assigned by the agency. Two helpful resources available to the supervisor are the:

- *Performance Assessment Rubrics* introduced in the last module, and
- Fidelity surveys for specific evidence-based practices.

The concept of fidelity measures for specific evidence-based treatment programs may be new. Using slides 9 and 10 highlight that fidelity scales are typically published by the authors of a practice as a way to assess whether the practice is being utilized as intended and researched. Such scales can be lengthy and some agencies modify them to make them more useful in a practice setting. In addition, agencies which have developed their own clinical procedures will sometimes develop a fidelity tool to assess the degree to which their standards are being met.

The focus of fidelity assessment can be on one or more of the following:

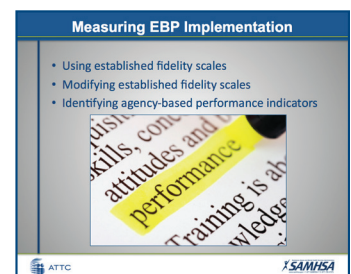
- **Program:** Addresses whether the structure, procedures, and routines are in place
- **Practitioner:** Addresses whether practitioner is delivering services consistent with the program
- **Client:** Addresses whether client is receiving services within the framework of the practice

Both the *Rubrics* and specific fidelity measures help the supervisor not only evaluate the counselor's work but also raise issues to consider in developing a performance improvement plan.

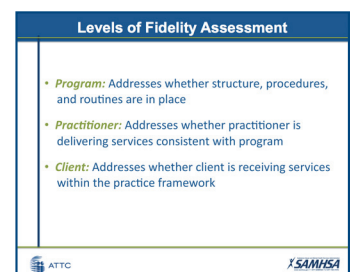
NOTES



6-7 Resources



6-8 Performance Indicators



6-9 Performance Indicators

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INTEGRATIVE ACTIVITY

> (30 minutes)

ASK

Ask participants to reconsider the limited information in Megan's initial assessment of Tony we reviewed earlier in this section. Based on the information available and the assumptions participants made about the counselor's performance, ask each person to answer the questions posed in the Participant Workbook on page 50:

1. Imagine giving the counselor feedback on the assessment interview. What issues seem most important for discussion?
2. Using the *Rubrics* document, read through the rubrics for Dimension I, Screening and Assessment (pp.33-41), and Dimension II, Treatment Planning (pp. 42-49). Identify one to three competencies which might be targeted for improvement. Note in your workbook both the number and the essence of each competency you select.

After allowing sufficient time for discussion, ask the small groups to record their answers on easel pad paper and post them in the room. When posted, ask the groups to get out of their seats and go to each poster one at a time while a representative from each group presents the information on their poster. Discuss the variety of issues addressed by participants and the different competencies targeted for attention by the small groups. Note the decision about what takes priority might be made by the supervisor or decided in collaboration between the supervisor and counselor.

In conclusion, note that identifying strengths and needs for improvement comprise one set of skills. Delivering constructive feedback is essential in supervision and is a totally different skill set. Those skills will be considered next.

BREAK

> (10 minutes)

Integrative Activity

1. Reconsider the case study of Tony and his counselor, Megan
2. On which issues would you consider giving Megan feedback?
3. Using *Practice Dimensions I and II* in the *Rubrics* document, identify up to three competencies which could be targeted for Megan's professional development

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6-10 Integrative Activity



Easel pad and markers

MODULE 6: Performance Evaluation

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GIVING PERFORMANCE BASED FEEDBACK

> (80 minutes)

Part 1:

Introduce the idea that feedback on job performance is an essential part of the evaluation process. Review the basic concepts and the definition of feedback included in the Participant Workbook on page 54. Then present and demonstrate the basic steps in the ORAL model by giving a positive feedback message to a co-trainer or, with permission, to a trainee. It is important for the trainer to be skillful in using this model. You should practice giving clear and concise feedback messages prior to teaching and demonstrating this material. (10 minutes)

Here is a sample demonstrating the importance and value of brevity in giving feedback:

O: You hear a colleague describe her/his work

R: I heard you talk about your program and the kids of services you provide.

A: I assumed you all have really worked at putting together a great program.

L: I was really impressed and want to learn more about what you are doing.

Participants then partner with a neighbor and each one uses the ORAL model in giving the neighbor feedback concerning an observed positive behavior or trait. After one minute, the partners switch roles and practice for another minute.


ASK

In large group, briefly process the participant's experience. Ask, "What problems did you encounter in using the model?" "How sure are you that the person receiving the feedback heard the message accurately?" (5 minutes)

NOTES

Performance Feedback: Basic Concepts

- Supervisor interpretations of behavior are influenced by own assumptions
- Clear statements of these assumptions are key to supervisee understanding
- Sharing and comparing expectations signal collaboration
- Feedback should be crafted thoughtfully
- Verification of mutual understanding is essential




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6-11 Performance Feedback

Feedback Defined


Feedback is any overt response, verbal or nonverbal, that gives **specific and subjective** information about how a person's behavior in a particular situation affects someone or something



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6-12 Feedback

Objective



Transmit reliable information so that a person receiving it can establish a "data bank" from which to change behavior if she/he chooses to do so.

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6-13 Feedback

Oral Feedback Model

- O = Observe
- R = Report
- A = Assumption
- L = Level




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6-14 Feedback

Oral Feedback Example

"When I saw (heard) you...
I assumed (thought)...
and my reaction was..."



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6-15 Feedback

MODULE 6: Performance Evaluation

INSTRUCTOR'S OUTLINE

Part 2:

Ask a volunteer dyad from the previous practice to demonstrate the ORAL model in front of the large group by replaying one of the messages they just shared with one another. The trainer may need to coach the players in using the model correctly. Once the sender has delivered the message, ask the group if the receiver heard it accurately. Illustrate that the receiver of a message may or may not understand, hear accurately, or remember the important elements of the message.

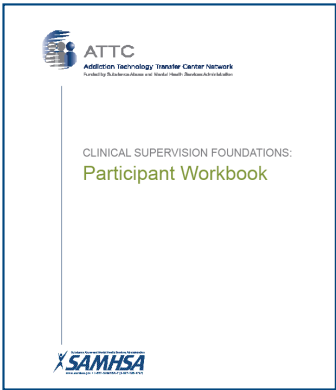
SAY

Since we do not know what the receiver heard or how the message is being interpreted, we need to add three more steps to the model.

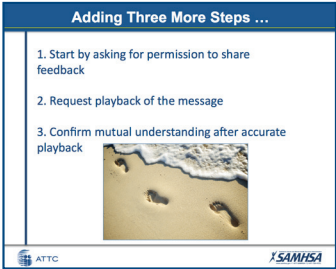
Share the additional steps in the model as illustrated in the Participant Workbook. Then ask the same volunteer pair to demonstrate the importance of the receiver summarizing or paraphrasing the message in order to be certain the message was heard accurately.

Add those steps to the model as illustrated in the workbook on page 55. Emphasize the importance of asking the recipient to summarize the feedback s/he heard. Supervisor listens carefully to all elements of the message, and only confirms accuracy when the recipient has summarized all parts of the message. (10 minutes)

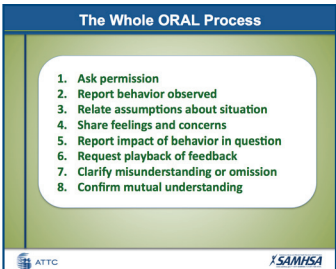
NOTES



Participant Workbook pp 54-55



6-16 Adding three more steps



6-17 The Whole ORAL Process

MODULE 6: Performance Evaluation

INSTRUCTOR'S OUTLINE

Part 3:

Now break the participants into groups of three. Each participant plays one of the following three roles to start the activity:

1. A supervisor,
2. A supervisee, and
3. An observer who provides feedback on the use of the skills

In this exercise the activity will be repeated three times for each participant to experience each role.

The first pair in each triad role-plays a hypothetical interaction in which the supervisor is to give a supervisee positive feedback on a skill.

- First, the supervisor asks permission to provide feedback.
- Then, the feedback is shared. The supervisor describes what was seen or heard, assumptions made about behavior, and its impact on others and client (if appropriate).
- The supervisee then summarizes the message and is corrected until all important aspects of the message are summarized accurately.
- Finally, the supervisor assures there is a mutual understanding with the supervisee.

The observer notes the skills used and whether the message was heard accurately and mutually understood. Observers can use the Feedback Observation Checklist in the workbook on page 56 to structure their observations.

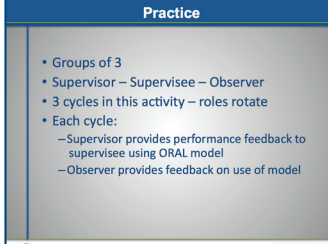
When the interaction is finished, the triad debriefs, with the observer and the supervisee each sharing feedback with the person who played the supervisor.

Following the debriefing, roles are changed within the triad and the next supervisor-supervisee pair does the exercise with the observer noting behaviors and providing feedback to the supervisor.

At the conclusion of the exercise the trainer facilitates a brief discussion in response to these questions: (15 minutes)

- What is the value of this model?
- How important is the playback?
- How might this model impact the relationship between supervisor and supervisee?

NOTES

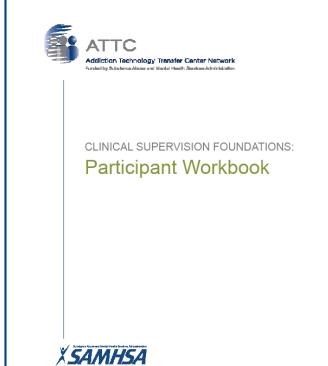


Practice

- Groups of 3
- Supervisor – Supervisee – Observer
- 3 cycles in this activity – roles rotate
- Each cycle:
 - Supervisor provides performance feedback to supervisee using ORAL model
 - Observer provides feedback on use of model

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6-18 Practice

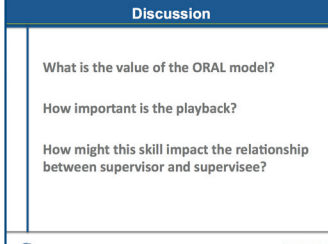


ATTC
Addiction Technology Transfer Center Network
Creating a Culture of Excellence in the Behavioral Health Field

CLINICAL SUPERVISION FOUNDATIONS:
Participant Workbook

SAMHSA
Substance Abuse and Mental Health Services Administration

Participant Workbook pg 56



Discussion

What is the value of the ORAL model?

How important is the playback?

How might this skill impact the relationship between supervisor and supervisee?

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6-19 Discussion

MODULE 6: Performance Evaluation

INSTRUCTOR'S OUTLINE

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Part 4:

SAY

Next we are going to practice giving a constructive message in a situation where the supervisor perceives a need for improved job performance.

TRAINER NOTE:

Using the work done on the case study thus far, participants, in the role of supervisor, craft a feedback message to share with Megan. Ask them to use the Preparing Feedback form in the workbook on page 57. In sharing feedback, encourage participants to refer to or use the *Rubrics* to identify and describe the counselor's current skill level.

ORAL model is on page 55 of the workbook. As before, the trainer first demonstrates. A volunteer is selected to play the role of Megan. The trainer, in the role of supervisor, uses the full ORAL model to share a feedback message. The demonstration ends when the receiver summarizes the feedback accurately. Again, it is important for the trainer to prepare this demonstration ahead of time, based on the information in the case study. (15 minutes)

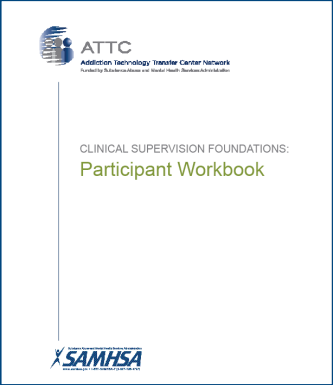
After a brief discussion of what participants observed in the demonstration, the group is divided into dyads, with new partners. Each person will have a chance to practice giving a constructive, change-oriented message to their partner who will be in the role of Megan, the counselor. Encourage participants to use the full ORAL model.

As the role plays are occurring, the trainer monitors how participants are doing using the model.

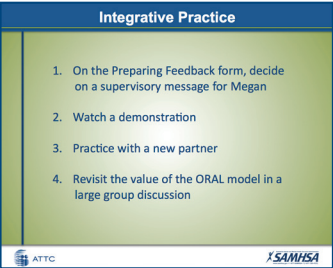
After no more than 8-10 minutes (sufficient for both members of the pair to practice giving a single supervisory feedback) pull the group back together for a final discussion of the ORAL model and its value in supervision. (15 minutes)

BREAK

> (10 minutes)



Participant Workbook
pg 57



6-20 Integrative Practice

MODULE 6: Performance Evaluation

INSTRUCTOR'S OUTLINE

STRUCTURING SUPERVISORY INTERVIEWS

> (70 minutes)

Feedback is typically provided in the context of a supervisory interview in which the supervisor and supervisee collaborate and determine a course of action, if one needs to be taken. Trainer notes that such interviews can be structured to assure maximum usefulness.

Present a model defining the purpose and structure of the supervisory interview as noted in the Participant Workbook on page 58. Discuss the four steps of the interview structure, including the purpose and methods supervisors can use. (10 minutes)

Next, the trainer demonstrates a 5-10 minute supervisory interview following the structure just presented. (Note: This could be recorded before the training takes place.) A volunteer should be recruited to play the role of the counselor, either a co-trainer or a participant. Prior to the role play come to agreement on the performance issues and examples of the counselor's abilities and deficiencies.

During the demonstration participants make notes on the Supervisory Interview Observations sheet in the workbook on page 59. Participants then analyze and critique the demonstration by pointing out how the instructor followed the suggested structure. Use the following questions to guide the discussion:

ASK

1. *What was the impact of using the structure?*
2. *How did the supervisee respond to feedback?*
3. *Was an adequate understanding achieved?*
4. *What helped bring it about?*
5. *What happened when the issue of improved performance was raised?*

(10 minutes)

NOTES

Supervisory Interview

Definition: Structured communication process with a clearly definable purpose enabling the counselor to improve job performance.

Purpose:

1. Create an atmosphere and provide a structure which facilitates bi-directional feedback, teaching, learning and evaluation
2. Improve quality and effectiveness of client services

Focus: Development of supervisee knowledge, skills, and professional attitudes.


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6-21 Supervisor Interview

Steps	Objectives	Tools
Step 1 SET AGENDA	Provide structure Decrease anxiety Foster trust	Establish agenda Prioritize Set time frame
Step 2 GIVE FEEDBACK	Empower Individualize supervision	ORAL model
Step 3 TEACH & NEGOTIATE	Confirm understanding Negotiate objective	Motivational skills Active listening Paraphrasing
Step 4 SECURE COMMITMENT	Determine willingness Clarify expectations Mutual accountability	Clarification skills Ask for commitment


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6-22 Supervisor Interview



Addiction Technology Transfer Center Network
Creating Effective Interventions and Promoting Positive Recovery Outcomes


CLINICAL SUPERVISION FOUNDATIONS:
Participant Workbook



Participant Workbook pp 58-59

Discussion

1. What was the impact of using the structure?
2. How did the supervisee respond to feedback?
3. Was an adequate understanding achieved?
4. What helped bring it about?
5. What happened when the issue of improved performance was raised?



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6-23 Discussion

MODULE 6: Performance Evaluation

INSTRUCTOR'S OUTLINE

Invite the group to practice using the supervisory interview structure. Start by giving participants time to decide on a performance issue and to note on the preparation sheet on page 60 in the workbook one or two examples to cite in providing feedback during the interview.

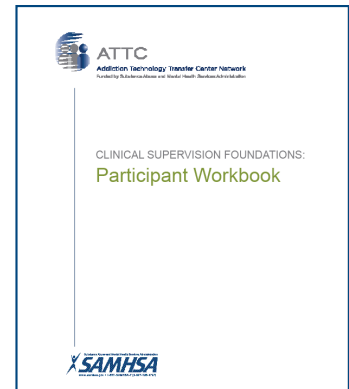
ASK

Next, ask participants to divide into pairs. They will each conduct a supervisory interview with the other. Allow 5-10 minutes for the first person to practice, and up to five minutes to have partner offer and discuss feedback. Then repeat the practice with the participants switching roles. (30 minutes)

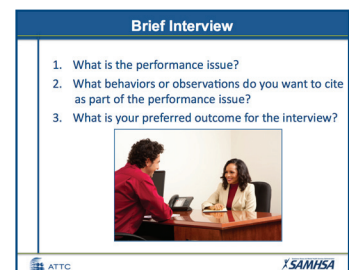
In large group, process this exercise. Help the participants pick the model apart. Discuss what went well and identify any difficulties encountered. Questions appearing in the Participant Workbook on page 61 include the following. The trainer might want to follow-up with any of these, depending on the available time: (10 minutes)

1. How did the supervisor do following the structure?
2. What was the impact of the agenda setting portion of the interview?
3. What was the impact of providing behavioral feedback?
4. What are the strengths and weaknesses of the ORAL model?
5. What was the impact of verifying that the counselor understood the feedback as intended?
6. How difficult was it to achieve an understanding between the supervisor and counselor?
7. If the supervisor got diverted, what happened?
8. What happened when you raised the issue of improving performance?

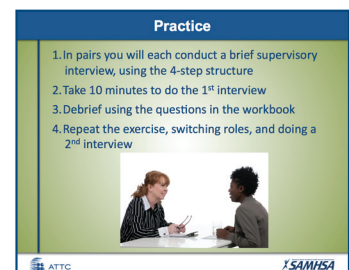
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Participant Workbook
pp 60-61



6-24 Preparing to
Conduct an Interview



6-25 Practice

MODULE 6: Performance Evaluation

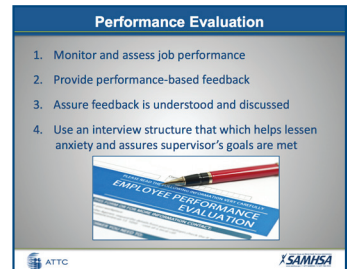
INSTRUCTOR'S OUTLINE

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MODULE CLOSURE

End this module with a brief summary of the essentials of performance evaluation:

1. Monitoring and assessing job performance
2. Providing performance-based feedback
3. Assuring that feedback is understood and discussed
4. Using an interview structure which helps lessen anxiety and assures the goals of the interview are met



6-26 Performance Evaluation

