

APPENDIX A

MASSEY UNIVERSITY

APPLICATION TO HUMAN ETHICS COMMITTEE

NAME: Kieran Barry O'Donoghue

STATUS OF APPLICANT: Masterate student

DEPARTMENT: School of Policy Studies and Social Work.

EMPLOYMENT: MidCentral Health Limited.

PROJECT STATUS: Masterate Thesis

FUNDING SOURCE: Kieran Barry O'Donoghue

SUPERVISORS: Associate Professor, Andrew Trlin
Mary Ann Baskerville, Senior Lecturer

TITLE OF THE RESEARCH PROJECT: Professional supervision practice under new public management: A study of the perspectives of probation officers and service managers in the Community Probation Service

ATTACHMENTS:

Information Sheet: ()

Consent Form ()

Interview guide ()

SIGNATURES:

RESEARCHER:

SUPERVISORS:

.....

DATE:

1. DESCRIPTION

1.1. Justification:

The State Sector Act 1988 and the Public Finance Act 1989 have facilitated significant changes in the way government departments are managed. These changes have affected both professional practice and management in the Community Probation Service and other statutory social service agencies. These changes have resulted in greater managerial accountability and an emphasis upon quantifiable output measures and performance targets rather than professional process accountability, which had previously occurred through professional practice supervision (O'Donoghue, 1995).

The importance of professional supervision within this context is exemplified by the Community Probation Service's desire for best professional practice, competent professional staff and quality assurance (Community Corrections Service, 1997a).

Within the wider field of professional social work supervision there is both an extensive and established body of literature (Bennie, 1995). This literature is dominated by authors from Great Britain and the United States of America, with the most prominent authors being Kadushin (1976, 1992), Munson (1979, 1993), Middleman and Rhodes (1985), Morrison (1993) and Brown and Bourne (1996). Within Aotearoa /New Zealand there is a growing body of literature which has developed mainly under the auspices of the New Zealand Association of Social Workers and the New Zealand Social Work Training Council (Bennie, 1995). From the New Zealand literature the "*Supervision Resource Package*" (1985) published by the New Zealand Social Work Training Council and Garth Bennie's (1995) "*Social Work Supervision An Annotated Bibliography*" stand out. In general, the published literature (within Aotearoa /New Zealand and internationally) appears to highlight the following areas:

- approaches and models of supervisory practice;
- the tension between the managerial and professional aspects of supervision;
- the link between quality supervision and best practice;
- the importance of supervision as a professional process;
- and the future of supervision in the current changing management environment.

In Aotearoa /New Zealand there appears to have been very little research conducted into professional social work supervision and none in relation to professional practice supervision under the new public management approach.

1.2. Objectives:

The objective of this study is to produce a Masters thesis that identifies and examines the participants' philosophy of professional supervision, their wishes

or expectations with regard to the professional supervision they receive or provide, and their recent experience of professional supervision practice.

1.3. Procedures for recruiting participants and obtaining Informed Consent.

Between five and ten probation officers and five service managers will be purposefully selected from lists of staff provided by the Regional Manager Community Probation, Central region, to attain participants with a broad mix of professional practice and/or supervision experience. Participation in this study is voluntary. Potential participants selected will be provided with an Information Sheet (copy attached) and if they agree to take part their written consent will be obtained prior to the commencement of an interview.

1.4. Procedure in which research participants will be involved

Participants will be asked to participate in an audiotaped in-depth interview lasting between one and two hours. They will be advised that the research is focused on supervision and will be asked questions concerning (see Interview Guide attached):

- their philosophy of professional supervision,
- their wishes or expectations with regard to the professional supervision that they receive or provide, and
- their recent experience of professional supervision.

Participants will be advised that they have the right to ask that the audio-tape be turned off at any time during the interview. They will also be advised that they have the right to withdraw from the research at any time and that they are entitled to refuse to answer any particular question(s) at any time.

Participants will be asked to review the transcript of their interview, and to correct any errors or alter any comments made prior to returning it to the researcher.

1.5. Procedures for handling information and material produced in the course of the research including raw data and final research report.

The interviews will be recorded on audio-tapes which will be transcribed by a typist who will sign a confidentiality agreement. All interview tapes, floppy disks and written transcripts will be kept in a locked filing cabinet until the study is completed. Once the thesis has been assessed all transcripts stored on floppy disk or the researcher's hard drive will be erased. The audiotape and any printed transcripts will be destroyed unless the participant wishes to retain these for his/her own personal records.

A summary of the research findings (which includes a statement about how the results of this research will be disseminated) will be provided to participants should they request it.

2. ETHICAL CONCERNS

2.1. Access to participants.

The researcher will advise potential participants how selection of participants was made.

Access to participants will be made initially through the Central North Island Regional Manager of the Community Probation Service, who will be asked to provide the researcher with a list of the probation officers and service managers in the Central North Island Region. This list will also provide details of the probation officers and service managers length of service, location, and gender. The list of names provided by the Regional Manager will include a letter confirming that she is able to make the list available.

The researcher will write to potential participants and send them the Information Sheet, Consent Form and the Regional Manager's letter of approval, which will also assure participants that their identity will remain confidential to the researcher. The letter will ask the potential participants to contact the researcher should they wish to participate in the study. The envelope will be marked confidential. If no response is received within two weeks after posting the above letter a follow up letter with the envelope also marked confidential will be send.

2.2. Informed Consent.

All potential participants in this research will be provided with an Information Sheet (copy attached). This sheet explains the nature and purpose of the study and specifies the following rights:

- *to decline to participate.*
- *to ask any questions about the study at any time before it begins and during participation.*
- *to refuse to answer any particular question(s).*
- *to ask to have the audiotape turned off in order to ascertain the meaning and implications of potentially sensitive questions.*
- *to withdraw from the study at any time.*
- *to provide information on the understanding that their name and other identifying features will not be used (unless they give permission to the researcher).*
- *to review and amend the transcript of their interview.*
- *to be given access to a summary of the findings of the study when it is concluded.*
- *to determine the final disposal of the interview audiotape and any copy of the interview transcript.*

Each Interview will only be commenced once the participant has completed a Consent Form (copy attached).

2.3. Anonymity and Confidentiality.

The researcher will maintain confidentiality through ensuring that all identifying features such as a participant's name and location remain confidential to the researcher and transcript typist and by writing up the research findings in a manner that ensures that the participants will not be identified. This will be done by either the use of fictitious names or by referring to participants by their role (ie. probation officer or service manager) in the research report and quotations. The researcher will also maintain confidentiality through the secure storage of all research data and through ensuring that the typist who will transcribe the interview tapes signs a deed of confidentiality.

2.4. Potential Harm to Participants.

The researcher aims to minimise potential harm to participants through ensuring confidentiality and through ensuring that the findings cannot be construed so as to harm individuals or groups of individuals. The researcher, when interviewing, will ensure that he is sensitive to the age, gender, etc. of research subjects.

2.5. Potential Harm to Researcher.

Not applicable

2.6. Potential Harm to the University.

Not applicable

2.7. Participant's right to decline.

Participants will be informed of their right to decline upon first contact, and if they so decide they will not be approached again.

2.8. Uses of the information.

The information obtained will only be used for the purpose of thesis research and any academic publications arising from this project.

2.9. Conflict of Interest/ Conflict of Roles

The researcher worked for Community Corrections for almost six years in the roles of probation officer in Taranaki, and Unit Manager/Service Manager in Palmerston North.

He left Community Corrections in March 1997 after obtaining his current position at MidCentral Health. During his period of employment with Community Probation the researcher produced a handbook for supervisors of probation officers (O'Donoghue,1995). The researcher does not believe he has any conflict of interest or conflict of roles in this research because he does not hold a role within the Community Probation Service and he is also not employed by the Community Probation Service.

2.10. Other ethical concerns.

None

3. LEGAL CONCERNS:**3.1 LEGISLATION****3.1.1. Intellectual Property legislation
e.g. Copyright Act 1994.**

Not applicable

3.1.2. Human Rights Act 1993.

Not applicable

3.1.3. Privacy Act 1993.

The Privacy Act is relevant (in terms of the obtaining, storage and use of information private to individuals) and will be observed as appropriate.

3.1.4. Health and Safety in Employment Act 1992.

Not applicable

3.1.5. Accident Rehabilitation Compensation Insurance Act 1992.

Not applicable

3.1.6. Employment Contracts Act 1991.

Not applicable

3.2 OTHER LEGAL ISSUES

3.2.1. Official Information Act 1982.

This Act is relevant in regard to the obtaining of information from government organisations, particularly section 12. The terms and conditions of the Act will be observed.

4. CULTURAL CONCERNS

Not applicable

5. OTHER ETHICAL BODIES RELEVANT TO THIS RESEARCH

5.1. ETHICS COMMITTEES

None

5.2. PROFESSIONAL CODES

The researcher is a member of the New Zealand Association of Social Workers and will observe its Code of Ethics as appropriate.

6. OTHER RELEVANT ISSUES

None

Professional supervision practice under new public management: A study of the perspectives of probation officers and service managers in the Community Probation Service

INFORMATION SHEET

1. The researcher and supervisors.

My name is Kieran O'Donoghue and I am enrolled for the degree of Master of Philosophy at Massey University. I am currently employed by MidCentral Health as Senior Social Worker and Project Manager for Mental Health Services.

My chief supervisor is Associate Professor Andrew Trlin, School of Policy Studies and Social Work, Massey University, Palmerston North.

My second supervisor is Mary Ann Baskerville, Senior Lecturer, School of Policy Studies and Social Work, Massey University, Palmerston North.

2. How to contact the researcher and supervisors.

Kieran O'Donoghue may be contacted Monday to Friday 9am-5pm on (06) 350 8034 or 0868 12589. After 5pm and during the weekends Kieran may be contacted on (06) 3574837.

Associate Professor Andrew Trlin may be contacted on (06) 350 4305.

Mary Ann Baskerville may be contacted on (06) 350 5218.

3. The nature and purpose of the study.

The State Sector Act 1988 and the Public Finance Act 1989 have facilitated significant changes in the way government departments are managed. These changes have affected both the professional practice and management of statutory social service agencies. In the Community Probation Service these changes have resulted in greater managerial accountability and an emphasis upon quantifiable output measures and performance targets rather than professional process accountability, which previously had occurred through professional practice supervision. The importance of professional supervision within this context is exemplified by the Community Probation Service's desire for best practice, competent professional staff and quality assurance. The focus of this research is on supervision.

The purpose of the study is to produce a Masters thesis that ascertains the participants' philosophy of professional supervision, their wishes or expectations with regard to the professional supervision they receive or provide, and their recent experience of professional supervision practice. The information collected will be used for the production of the Masters thesis and for any academic publications arising from it.

The study will involve in-depth qualitative interviews with between five and ten probation officers and five service managers. The duration of each interview will be between one and two hours. Participants will be purposefully selected to attain a broad

mix of professional practice and/or supervision experience from probation officers and service managers within the Community Probation Service's Central North Island region, which ranges from Masterton to Huntly. Contact between the researcher and participants will occur away from the participants' workplace. The interviews will be recorded on audiotapes, which will be transcribed by a typist who will sign a confidentiality agreement. The transcripts will be securely stored and accessible only to the researcher.

Participation in this study is voluntary. Potential participants are selected from an up to date list of staff provided by the Regional Manager Central Region (see attached letter). Potential participants have the right to decline to take part. If participants agree to take part their written consent will be obtained prior to the commencement of an interview. Participants will be advised that they have the right to ask that the audiotape be turned off at any time during the interview. Participants will also be advised that they have the right to withdraw from the research at any time and they are entitled to refuse to answer any particular question(s) at any time.

A summary of the research findings (which includes a statement about how the results of this research will be disseminated) will be provided to participants should they request it.

4. What will be asked of the participants, including the time involved.

Participants will be asked to participate in a recorded in-depth interview lasting between one and two hours. They will be asked questions concerning:

- their philosophy of professional supervision,
- their wishes or expectations with regard to the professional supervision that they receive or provide, and
- their recent experience of professional supervision.

Participants will be asked to review the transcript of their interview, and to correct any errors or alter any comments made prior to returning it to the researcher.

5. Confidentiality.

The researcher will maintain confidentiality through ensuring that contact occurs away from the participant's work place. He will also ensure that all identifying features such as a participant's name and location remain confidential to the researcher and transcript typist and by writing up the research findings in a manner that ensures that the participants will not be identified. This will be done by either the use of fictitious names or by referring to participants by their role (i.e. probation officer or service manager) in the research report and quotations. The researcher will also maintain confidentiality through the secure storage of all research data and through ensuring that the typist who will transcribe the interview tapes will sign a deed of confidentiality.

Once the thesis has been assessed all transcripts stored on floppy disk or the researcher's hard drive will be erased. The audiotape and any written transcripts will be destroyed unless the participant wishes to retain these for his/her own personal records.

6. *The rights of the participants*

Participants will have the following rights:

- *to decline to participate.*
- *to ask any questions about the study at any time before it begins and during participation.*
- *to refuse to answer any particular questions.*
- *to ask to have the audiotape turned off in order to ascertain the meaning and implications of potentially sensitive questions.*
- *to withdraw from the study at any time.*
- *to provide information on the understanding that their name and other identifying features will not be used (unless they give permission to the researcher).*
- *to review and amend the transcript of their interview.*
- *to be given access to a summary of the findings of the study when it is concluded.*
- *to determine the final disposal of the interview audiotape and any printed copy of the interview transcript.*

**Professional supervision practice
under new public management:
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in the Community Probation Service**

CONSENT FORM

I have read the Information Sheet and have had the details of the study explained to me. My questions have been answered to my satisfaction, and I understand that I may ask further questions at any time.

I understand I have the right to withdraw from the study at any time and to decline to answer any particular questions.

I agree to provide information to the researcher on the understanding that my name will not be used without my permission.

I agree/do not agree to the interview being audio taped.

I also understand that I have the right to ask for the audio tape to be turned off at any time during the interview.

I agree to participate in this study under the conditions set out in the Information Sheet.

Signed:

Name:

Date:

Professional supervision practice under new public management: A study of the perspectives of probation officers and service managers in the Community Probation Service.

Interview Guide

Background details:

- Gender
- Cultural identity
- Age
- Brief work history
- Professional education and training
- Education and training in supervision

Philosophy of professional supervision:

What is the participant's understanding of professional supervision?

- Definition and purpose of professional supervision.
- Role of professional supervision for you and your organisation
- Main functions within professional supervision
- Processes involved in professional supervision
- Knowledge of theories of professional supervision
- The skills that are important in professional supervision

Recent experience of professional supervision

What is the participant's recent experience of professional supervision as a recipient or provider?

- Current participation in professional supervision (ie, frequency, type, mode, when was last session, when is next session, roles).
- From whom do you obtain advice and support.
- Relationship of your supervision to agency policy/ guidelines (ie, contract, record keeping, frequency, gender and cultural appropriateness, confidentiality and evaluation.)
- Describe the content and process of your supervision.
- Satisfaction and feelings about current supervision.(What's good, what's less than good and why).
- Current supervisor (relationship, gender, culture, experience, training, qualifications, theoretical perspective, model of practice).
- What factors impact on the quality and quantity of your supervision
- The extent to which current supervision improves the quality of the your practice.
- The extent to which current supervision helps manage work related stress.
- The extent to which current social policy impacts on supervision in the organisation.
- The extent to which Managerialism impacts on supervision in the organisation.
- Effect of organisational culture on supervision.

*Aspirations and expectations of professional supervision***What does the participant want from supervision as either recipient or provider?**

- Agency support (eg, policy guidelines for professional supervision).
- Structures,(ie, frequency, agreements, type of supervision, mode of delivery, culture and gender appropriate, recording keeping and access to records, confidentiality and evaluation).
- Supervision provided within the organisation or by external consultants contracted from outside of the organisation.
- Supervisor to be line Manager, peer or other (choice of supervisor).
- Relationship between performance management, competency programme and professional supervision.
- What knowledge, skills, experience, qualifications, gender and culture would be ideal for you in a supervisor/ supervisee.
- What roles and responsibilities would you want your supervisor to take.
- Supervision practice -What would you want the content of supervision to be ? (ie, discussion about case-work, professional development, problem solving, personal counselling, debate, feedback on observed work etc...).
- What process would you want supervision to use? (ie, shared agenda, groundrules, speak for oneself etc...)

Participants general comments about supervision.