



FCAN Supervision Policy & Guidelines

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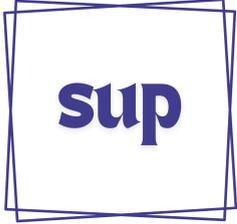
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FCAN Supervision Policy

Introduction

The Financial Counsellors' Association of NSW has adopted the National Professional Supervision Policy (version dated 1 January 2024) in its entirety - with the following two (2) exceptions:

1. Minimum Number of Hours of Supervision

The minimum number of hours of supervision required for NSW financial counsellors are:

- employed 20 hours or more per week – 20 hours per membership year
- employed less than 20 hours per week – 10 hours per membership year

2. Minimum Number of Hours of Supervision for FCAN Approved Supervisors

From 1 July 2024 FCAN Approved Supervisors that provide 20 hours or more per year of Peer Supervision can elect to reduce the minimum Supervision hours they are required to undertake to:

- employed 20 hours or more per week – 10 hours per membership year
- employed less than 20 hours per week – 6 hours per membership year

This exception to the FCAN Supervision Policy recognises the reciprocal learning that occurs when providing Supervision and also recognises the work FCAN Approved Supervisors undertake in giving back to the sector.

Implementation

This version of the FCAN Supervision Policy will be implemented on 1 July 2024.

To assist with implementation, FCAN has developed the following Supervision Guidelines for NSW members. FCAN Supervision Guidelines are to be read in conjunction with the National Professional Supervision Policy.

Compliance

All Supervision arrangements are required to comply with the FCAN Supervision Policy on or before 30 June 2025.



FCAN Supervision Guidelines

Annual Supervision Hours

Accredited Members

The minimum number of hours of supervision required for NSW Accredited members:

- employed 20 hours or more per week – 20 hours per membership year
- employed less than 20 hours per week – 10 hours per membership year

FCAN Approved Supervisors

From 1 July 2024 FCAN Approved Supervisors that provide 20 hours or more per year of Peer Supervision can elect to reduce the minimum Supervision hours they are personally required to undertake to:

- employed 20 hours or more per week – 10 hours per membership year
- employed less than 20 hours per week – 6 hours per membership year

FCAN Approved Supervisors who are not providing 20 hours or more per membership year of Peer Supervision cannot elect to reduce their Supervision hours.

Associate Members

The minimum number of hours of supervision required for NSW Accredited members:

- employed 20 hours or more per week – 20 hours per membership year
- employed less than 20 hours per week – 10 hours per membership year

Student Financial Counsellors

Students working as financial counsellors while undertaking the Diploma in Financial Counselling are required to undertake supervision with an FCAN approved Supervisor when they commence working with clients.



Responsibility for Meeting Annual Supervision Requirements

It is the FCAN member and their employer's responsibility for ensuring that they have an FCAN Approved Supervisor at the beginning of each membership year.

If a Supervision relationship ceases it is the responsibility of the member and their employer for ensuring that they promptly find a replacement Supervisor.

Pro Rata Arrangements

If a member is not working as a financial counsellor for the full membership year then the required hours can be prorated according to the number of months worked per membership year.

Deficit in Annual Supervision Hours

If for any reason a member has a deficit of hours for the financial year, this will be reported to the FCAN Board. The member will be required to make up the Supervision hours promptly in the new membership year.

Surplus in Annual Supervision Hours

If a member has undertaken more Supervision than the annual FCAN requirement, any surplus of hours cannot be carried forward to the next membership year.

Delivery of Supervision

Peer to Peer Supervision Hours

At least 50% of the minimum hours of professional supervision must be provided by an FCAN Approved Supervisor.

Individual peer to peer supervision sessions should be no more than 2 hours per session.

It is considered best practice that peer to peer supervision sessions are planned to be spread throughout the year, as opposed to an ad hoc manner or loaded towards the end of the year.

Reciprocal Peer to Peer Supervision

Where two FCAN approved supervisors provide peer to peer supervision to each other in a reciprocal arrangement, each supervisor can claim no more than 50% of the total time towards their supervision requirements (e.g. 2 hours of reciprocal supervision, each supervisor can only claim 1 hour of supervision each). Best practice is to schedule separate sessions for each participant to act as peer supervisor so that there is a clear delineation between the role of supervisor and supervisee.

Group Supervision and/or Case Conferencing

An FCAN Approved Supervisor can elect to provide Group Supervision to their supervisees. FCAN members can also attend Group supervision sessions delivered by other FCAN Approved Supervisors.

Group Supervision is limited to 8 supervisees per session.

Group Supervision cannot exceed 50% of the Supervisees annual minimum hours.



Supervision Policy & Guidelines Financial Counsellors' Association of NSW

Effective 1 July 2024



Line Management

Supervision is not a performance management tool. It is not best practice or acceptable practice for a Supervisor to be the financial counsellor's direct line manager or another manager/team leader within the same line management structure.

Line Management Exception

If a financial counsellor is unable to find the services of an FCAN Approved Supervisor, a line manager who is an FCAN Approved Supervisor can provide Supervision in the short term until the financial counsellor and their agency can find the services of an FCAN Approved Supervisor.

Clinical Supervision

FCAN members can elect to undertake clinical supervision as part of their annual supervision hours. Clinical Supervision hours cannot exceed 50% of the Supervisees annual minimum hours. Clinical Supervision will also depend on the financial counselling agency's budget.

EAP – Employee Assistance Program

EAP sessions do not count towards Supervision hours or Clinical Supervision hours.

Incident/event debriefing

Debriefing services do not count towards Supervision hours.

Mentoring

Mentoring does not count towards Supervision hours.

Supervision Records

Record of Supervisor

Each year at renewal time (1 July) Supervisees must confirm or update who their Supervisor will be for the coming membership year. Supervisees confirm or update the name of their Supervisor in the Members Area on the FCAN Member Portal – Manage Your Supervisor/s.

During the year if the Supervisee changes their Supervisor these details should be updated as soon as the relationship changes.

Record of Supervision Sessions

A record of each supervision session, with the time and length of supervision, needs to be maintained and kept by the supervisee. The supervisor and supervisee should separately record any issues that may need to be followed-up in future supervision sessions. A copy of the FCAN Record of Supervision is shown as Appendix A.

The Supervisee is required to enter their Supervision hours on the FCAN Member Portal during the year or at renewal. To verify Supervision hours, FCAN may request:

- i) the Supervisee to provide a copy of the Record of Supervision, or
- ii) the Supervisor to confirm the supervision hours.



Requirements to be an FCAN Approved Supervisor

FCAN Accredited members are eligible to become an FCAN Approved Supervisor after working as a financial counsellor for 12 months as an Accredited member.

Accredited financial counsellors wishing to become supervisors are required to complete an FCAN approved supervision course or other similar accredited training, and then make an application to the FCAN Board to be recognised as an Approved Supervisor.

In some circumstances where an FCAN Accredited member does not meet the minimum eligibility requirement of three years full time experience, the FCAN Board may consider approving an application where the applicant demonstrates the experience and skills required.

Members are not permitted to undertake the role of Supervisor until they have completed an FCAN approved Supervision course and have had their application to become an Approved FCAN Supervisor accepted by the FCAN Board.

Ongoing requirements for FCAN Approved Supervisors

FCAN Approved Supervisors are subject to supervision themselves and are required to undertake suitable refresher courses at least every three (3) years.

List of FCAN Approved Supervisors

FCAN maintains a list of FCAN Approved Supervisors on the FCAN Members Portal.

Interstate Supervisors

Under the National Policy, a supervisor does not have to be located in the same State/Territory as a financial counsellor they supervise, provided the supervisor has been approved by their State/Territory association to provide supervision. Evidence of the professional supervisor's accreditation with their State/Territory association and insurance must be provided to FCAN upon request.

CPD points for Supervision

Each year FCAN Approved Supervisors can claim 1 point CPD for each Supervisee to a maximum of 4 points per annum. This means that if a Supervisor supervises 2 members they can claim 2 points each year and if they supervise 4 or more members they can claim 4 points each year.

Supervisors should include all of the names of the members they supervise in their CPD activities.

Supervision Agreements

It is best practice for there to be a written agreement between:

1. the Supervisor and the Supervisee; and
2. if Supervision is being provided by an external Supervisor there should be a written agreement between the Agency and Supervisor (regardless of whether a fee for service is charged or not).

A draft Supervision Agreement is included as Appendix B.



**Supervision Policy & Guidelines
Financial Counsellors' Association of
NSW**

Effective 1 July 2024



External Supervision – further guidelines for Agreements

Agreements for external Supervision can be between:

- the financial counselling agency that employs the financial counsellor that will be providing external supervision as part of their job role and with the agency employing the Supervisee; or
- the financial counsellor providing supervision (if this person is conducting the external Supervision outside their usual working relationship with their employer agency) with the financial counselling agency that employs the supervisee; or
- a professional (other than a financial counsellor) who will be providing supervision (limited to 50% of the required supervision hours) as outlined in Appendix 1 of the National Professional Supervision Policy.

Anything outside the above which is believed to fulfil the supervision requirements as set out in the National Professional Supervision Policy should be referred to FCAN Board for clarification/approval prior to the Agreement being made.





Insurance (Professional Indemnity Insurance) for External Supervision

a) External Supervisor employed by an agency

Where there is an agreement between one agency and another agency for their financial counsellor employee to provide external supervision (the Supervisor) as part of their job role (regardless if a fee is charged or not), it is the responsibility of the agency who employs the Supervisor to have appropriate insurance coverage.

Agencies should check with their Insurer about coverage for their financial counsellors who will be providing external supervision.

b) External Supervisor working outside their employing agency relationship

A Supervisor who provides external Supervision outside of their employment relationship to another financial counsellor is required to hold appropriate insurance coverage in professional indemnity and public liability.

c) FCAN arrangement for insurance cover for external Supervisors

FCAN has arranged coverage with an insurance broker and supports external supervision by reimbursing costs for this insurance, should there be no coverage provided by the FCAN Approved Supervisors employer and, providing there is no fee charged for these supervision sessions by the FCAN Approved Supervisor or its employing agency.

FCAN Approved Supervisors wishing to apply for this insurance coverage are to contact FCAN to request a copy of the insurers proposal form, complete the insurance proposal and lodge the form with the insurer. FCAN will determine if the cost will be reimbursed by FCAN or if the cost is the responsibility of the Supervisor.

Supervision Relationship - Limits to Confidentiality

Where the supervisor becomes aware of a matter that may cause harm to the supervisee and/or his/her client, this matter needs first to be discussed fully and openly with the supervisee. If the matter cannot be satisfactorily resolved in this way then further action needs to be taken.

Where the issue is with the supervisee's management, then the supervisor needs to encourage and support (but not represent or advocate on the supervisees behalf) the supervisee in negotiations with his /her line manager.

Where the issue is with the supervisee, then this may need to be brought to the attention of the FCAN Board for further advice.



Structure of Supervision Sessions

- Supervision sessions need to be free of interruptions.
- Specific dedicated time needs to be planned in advance and set aside.
- A dedicated private room needs to be available.
- There needs to be a negotiated and shared control of the agenda and rules for the supervision.
- Rules and items on the agenda should be recorded in writing.
- Confidentiality and privacy of the supervisee and client details are to be maintained, subject to limitations described in *Supervision Relationship – Limits to Confidentiality*
- It is recommended that arrangements be made so that the Supervisee may contact the Supervisor, as needed, between supervision sessions. Notwithstanding, the supervisee should be encouraged to develop her/his own referral network within the legal, government, ombudsman and community sectors.

Content of a Supervision Session

Content of a supervision session should include four main functions comprising:

- Supportive – act as mentor, to encourage how to manage job related stress and develop attitudes and feelings for optimum performance.
- Professional Development – encourage to enhance existing skills and expand knowledge and develop new skills.
- Administrative – provide opportunity to obtain guidance and discuss general administration and/or Agency issues (in an independent and non-judgemental way)
- Casework (by financial counsellor supervisor only) - opportunity to workshop client cases by canvassing alternative options, strategies and actions which could produce a more desirable outcome for the client.

The supervisor may use various methods of interaction with their supervisee to maximise the two way communication necessary to achieve the desired outcomes of peer supervision and mentoring. These methods may include:

- The opportunity to reflect on practice and feelings about work
- Explore the use and adequacy of the financial counsellor's skills, knowledge and values
- Review options available on how to improve knowledge and skills, identify possible training courses thereby supporting the development of a long term program to enable the supervisee to achieve greater job satisfaction in his/her role and ultimately obtain full accreditation where this has not been already attained.
- Review casework, management of caseload and work through and discuss outcomes and observations.
- Agreeing on action plans for further support and development.



To assist the interaction, “open” questions can be used to assist assessment of the supervisee’s current level of understanding which can include:

1. Experience:

- How did you find working with that client?
- What was your aim? What planning did you do?
- What did you expect to happen? What happened?
- What went according to plan? What didn’t happen?

2. Reflection:

- Did the client raise anything that you found uncomfortable?
- How did you manage that?
- Did you have a clash of values/how did it affect how you worked?
- What did you think the client was thinking – based on what?
- What was left unfinished?

3. Analysis:

- What are the current strengths, needs, risks for the client?
- What FC technical knowledge have you used in this case?
- What aims/outcomes for this session were or were not achieved?
- What went well, or not well, and why?
- Were there times when boundaries became blurred?

4. Action Plans:

- What information needs to be obtained before proceeding?
- What are your aims in the next phase of this case?
- Does anyone else need to become involved (other agency/legal)
- What would be a successful outcome for you, and for the client?
- Did you need additional support and/or resources? How did you seek that support? Who from? Was it helpful?
- Where do you feel more or less confident?

APPENDIX A

Record of Supervision

<i>Session:</i>	1	2	3	4	5	6	7	8	9	10	11	12	Comments
Date													
Duration hour/s													
<i>Mode of delivery:</i>													
Face to Face													
Telephone													
Other													
<i>Type of Supervision:</i>													
One on one Peer Supervision (minimum 50%)													
Clinical Supervision													
Group Supervision or Casework Conference													
<i>Areas Discussed:</i>													
Practice Management & Administration													
Skills & Technical Knowledge													
Ethics													
Case Review													
Industry Trends, Issues & Legislative Changes													
Self-Care													
Workplace, Organisation & Cultural Changes													
Review Professional Development													
Personal Insight and Reflection													
Improvements/Issues/Suggestions													
<i>Signatures:</i>													
Supervisee Name and Signature													
Supervisor Name and Signature													

APPENDIX B

DRAFT Supervision Agreement

(Between supervisor and supervisee)

This form is to be completed at the beginning of the supervision process. It identifies what the financial counsellor and supervisor want and will contribute to the supervision process. It provides a chance to discuss any difficulties that may arise. Supervision will involve discussions to support adequate casework and practice techniques for the financial counsellor.

This process is separate from Line Management: Supervision is not a performance management tool. Where agencies pay for the supervision process, the agency may request accountability for the provision of supervision. This can be provided in the form of a written report in agreement with the supervisee.

Supervision is a process that supports the development and practice of the financial counsellor. It is a two-way process that will enhance capacity, identify challenges and pathways to manage those challenges, build resilience within the financial counsellor to be able to work productively and maintain a professional approach to practice. It is designed to provide balance within the financial counsellor’s work and may have content that will focus on:

- Reviewing your work via discussion, reports, observations
- Agreeing, writing and monitoring action plans
- Development of your skills, knowledge and value base by reflecting on your work
- Identifying your development needs, interests, goals and action plans
- Providing space for you to reflect more generally on your experience of, and feelings about, your work
- Providing avenues to discuss and manage difficulty that may affect your work as a financial counsellor

Making supervision work: What each agree to contribute

The Financial Counsellor:

What I want from you as my supervisor:

What I will contribute as the supervisee to make this process work:

The Supervisor:

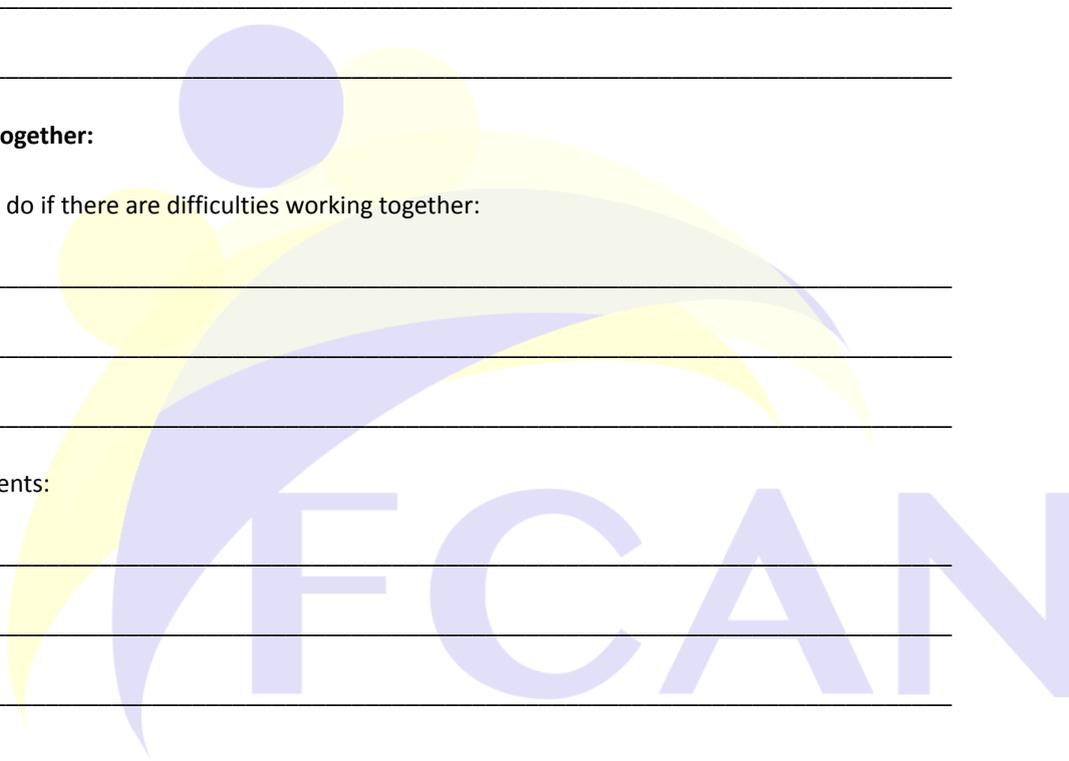
What I want from you as a Financial Counsellor undertaking supervision:

What I will contribute to make this work:

To consider together:

What we will do if there are difficulties working together:

Other comments:



This agreement to be reviewed at (frequency): _____

Name of Supervisor: _____

Signature of Supervisor: _____ Date: _____

Name of Financial Counsellor: _____

Signature of Financial Counsellor: _____ Date: _____