Endorsement for Licensure: Practices and Challenges Reported by Counselor Supervisors

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by

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ABSTRACT

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The purpose of this mixed-method study was to explore the extent to which supervisors of post-matriculation, pre-licensed counselors engage in gatekeeping. Two-hundred seventy-nine supervisors of post-matriculation, pre-licensed counselors completed an on-line survey that assessed 1) what methods of supervision supervisors of post-matriculation, pre-licensed counselors use that promote gatekeeping; 2) whether training in supervision increases the likelihood that supervisors engage in gatekeeping; 3) if supervisors endorse individuals for licensure about whom they have reservations; and 4) what barriers supervisors of post-matriculation, pre-licensed counselors report to engaging in gatekeeping at the licensure level. Analysis of the data revealed that, in the course of supervising an individual for licensure, supervisors engage in very few practices that promote gatekeeping. In addition, supervisors in the sample admitted to endorsing individuals for licensure despite concerns about their level of skill or appropriateness for the profession. The amount of training a supervisor had in supervision had no appreciable relationship to the amount of time supervisors spent engaged in the more objective methods of supervision. There was, however, a significant difference in the median number of hours of training reported by supervisors who had refused to endorse at least one individual for licensure compared to the median number of hours of training of those who had never refused to endorse someone for licensure, with

the former group having a higher median. Implications for supervisors, state licensing boards, and academic training programs are discussed.

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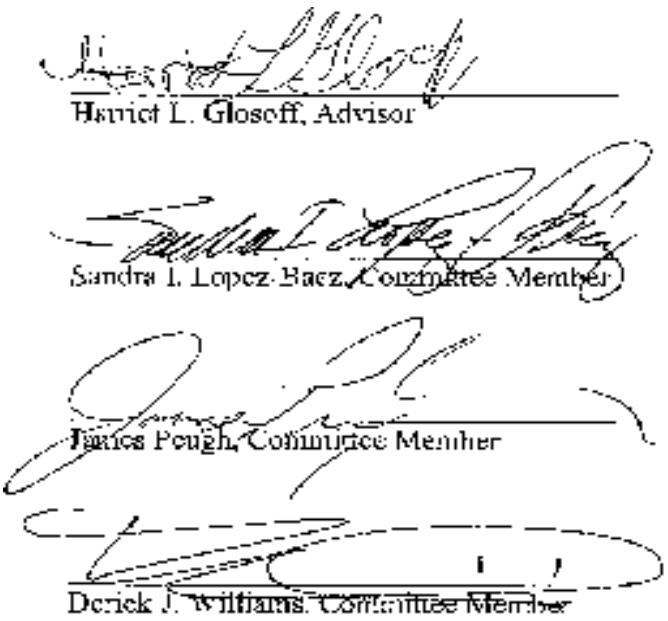
APPROVAL OF THE DISSERTATION

This dissertation, "Endorsement for licensure: Practices and challenges reported by counselor supervisors," has been approved by the Graduate Faculty of the Curry School of Education in partial fulfillment of the requirements for the degree of Doctor of Philosophy.



May 6, 2010

DEDICATION

"It takes a village to raise a child." – African Proverb

This dissertation is dedicated to my village.

ACKNOWLEDGEMENTS

It is difficult to adequately describe the deep gratitude I feel to so many people who have encouraged, cajoled, prodded, pushed, coached, cheered, and supported me along the way to beginning, and now finishing, this doctorate. I would need to write another dissertation to fully acknowledge everyone in my life who has played a role in this achievement. Even then, I fear I would omit someone. So I will settle, for now, by expressing my heartfelt thanks to all of the friends, family, teachers, colleagues, and mentors who have listened to me, taken long walks with me, fed me, celebrated with me, cried with me, laughed with me, tucked in my shirt tags before I gave presentations, put up with my self-centeredness and absenteeism as I studied, kicked me when I needed it, and offered their advice along this journey. I am going to be Dr. Miller, and it's your fault. I owe each of you a debt I can never fully repay.

I would be remiss if I did not specifically thank Sandy Lopez-Baez, Derick Williams, and James Peugh for serving on my committee and providing their knowledge, wisdom, guidance, and support as I put together this study, executed it, and analyzed the results. I am especially grateful to my chair, Harriet Glosoff, for the many hours she spent reviewing drafts, guiding me from ideas to actions, and supporting me as I worked through the process. I will always appreciate her knack for sensing what I need and making sure I receive it.

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CHAPTER 1

INTRODUCTION

Each year a cohort of new students begins formal training to become counselors by enrolling in coursework at one of over two hundred established counselor training programs in the United States. Thus begins a process of didactic instruction, study, and practical experience designed to assist students in acquiring the knowledge and skills necessary to become proficient counselors capable of assisting individuals struggling with a wide range of personal and career concerns. As these students begin their studies, faculty members in their respective programs begin evaluating each student to ensure his or her suitability for the counseling profession. This process of evaluation, known as gatekeeping, is designed to "prevent the graduation of students who are not equipped with the requisite knowledge, skills, and values for professional practice" (Koerin & Miller, 1995, p. 247).

Gatekeeping

The need for gatekeeping is well established within the professional literature. Researchers have found that both faculty and students report being aware of serious impairments in students in counseling (Gaubatz & Vera, 2002; Russell, DuPree, Beggs, Peterson, & Anderson, 2007) or psychology (Forrest, Elman, Gizara, & Vacha-Haase, 1999; Huprich & Rudd, 2004; Mearns & Allen, 1991; Procidano, Busch-Rossnagel, Reznikoff, & Geisinger, 1995) training programs that could interfere with their ability to

work professionally and effectively with clients. These impairments range from inadequate clinical or technical skills (Bhat, 2005; Overholser & Fine, 1990) and poor judgment (Overholser & Fine) to troubling interpersonal attributes such as biased attitudes or values (Bhat; Kerl, Garcia, McCullough, & Maxwell, 2002), poor impulse control (Kerl et al.), argumentativeness (Overholser & Fine), and inability to accept feedback (Kerl et al.). Historically, the profession has relied on training programs to intervene with such students to ensure that the impairments are resolved via a process of remediation. Should remediation fail, the profession relies on training programs to prevent the student in question from being allowed to enter the profession (Bogo, Regehr, Power & Regehr, 2007; Lumadue & Duffey, 1999). Researchers, however, indicate that many impaired students slip through training programs without intervention (Forrest, et. al.; Gaubatz & Vera). This phenomenon, known as gateslipping, undermines the profession's ethical duty to protect clients from harm by allowing individuals with deficient skills or problematic personal characteristics to enter professional practice. Thus, it is in the interest of the profession to continue to explore and encourage gatekeeping in order to safeguard client welfare.

Supervision

A key component of the gatekeeping process is supervision, a method in which a more senior member of a profession monitors and evaluates the services provided by the student-trainee with the goal of enhancing the trainee's proficiency while also safeguarding client welfare (Bernard & Goodyear, 2004; Falendar & Shafranske, 2004; Rich, 1993). Supervision can occur in both individual and group meetings with a

supervisor. In these meetings, the trainee's work with clients is reviewed, instruction is provided, and challenges are discussed.

Goals

The goals of supervision are outlined in the professional literature and in the *Code of Ethics* of the American Counseling Association (ACA, 2005). At its most basic level, supervision exists to ensure that clients receiving services from novices obtain adequate treatment and are protected from harm (American Counseling Association, 2005; Sherry, 1997). Just as it is wise for a budding physician to have careful oversight from an experienced one when performing exams and interventions, it is wise for a budding counselor to have the same. Novices who attempt to apply their newly acquired knowledge and skills without careful supervision might wreak substantial damage. Recognizing this danger, the Council for Accreditation of Counseling and Related Education Programs (CACREP) requires that its accredited counselor training programs provide students with a prescribed number of hours of supervision when they are in practicum and internship courses (Council for Accreditation of Counseling and Related Education Programs, 2009).

A second goal of supervision is the promotion of trainee development (Bernard & Goodyear, 2004). Trainees are novices, and novices are, by definition, beginners. No beginner in any profession is expected to have all of the requisite knowledge and skills necessary for solo practice. Consequently, as Rich (1993) notes, one purpose of supervision is to "develop and improve the assessment, interpersonal, and decision-making skills that will enable the direct care worker to fulfill organizational goals in that

environment" (p. 140). Supervision allows trainees to learn and refine counseling skills under the tutelage of a more experienced practitioner.

A third goal of supervision is the evaluation and certification of trainees for employment, credentialing purposes, and independent practice (Association for Counselor Education and Supervision, 1993). Supervisors are accountable not only to the trainees receiving their supervision, but to regulatory bodies, professional colleagues, the counseling profession, and the trainee's future clients (Magnuson, Norem, & Wilcoxon, 2002). They bear the responsibility of ensuring that the novices they supervise, hereafter referred to as supervisees, practice in an ethical and professional manner consistent with accepted standards of practice. To do so, supervisors must not only evaluate a supervisee's technical skills and knowledge but also whether the supervisee "is sufficiently free from personal and emotional conflicts to be able to provide effective treatment" (Sherry, 1997, p. 573). Indeed, the *Ethical Guidelines for Counseling Supervisors* of the Association for Counselor Education and Supervision (ACES, 1993) dictates that supervisors be "aware of any personal or professional limitations of supervisees which are likely to impede future professional importance" (2.12). This responsibility is echoed by the ACA's 2005 *Code of Ethics* (section F.5). To meet this obligation, supervisors routinely evaluate supervisee's interpersonal skills, attitudes, and professional character in addition to their technical skills and knowledge when determining whether or not to allow the supervisee to continue in training.

Methods of Supervision

Supervisors have a number of methods available to them to meet the goals of protecting client welfare, promoting supervisee development, and providing evaluation

and certification. These methods include live observation of a supervisee providing counseling, review of video or audio recordings of sessions, self-report from a supervisee about his or her work, gathering feedback from a supervisee's clients, review of a supervisee's case notes, and administering formal assessments of a supervisee's skills. Bernard and Goodyear (2004) recommend using multiple methods to evaluate supervisees, noting that:

> A supervisor may favor one form of gathering supervision material (e.g. audiotape), but the supervisor must realize that each method is a lens through which to view the work of the supervisee. Some lenses provide the sharper image of one aspect of the supervisee's work, but a wide angle may be desirable on occasion to allow the supervisor a different perspective from which to evaluate. Therefore, multiple methods are the surest way to get an accurate picture of the supervisee's strengths and weaknesses (p. 28).

Consistent with this observation, the use of multiple methods of evaluation is required in the ethical codes of both the American Counseling Association (2005) and the Association for Counselor Education and Supervision (1993).

Necessity of Supervision

Given the role supervision plays in protecting client welfare and promoting supervisee development, it is considered essential both during and after a counselor's academic training. The Council for Accreditation of Counseling and Related Educational Programs (CACREP, 2009) requires all training programs receiving its accreditation to provide supervision to students enrolled in practicum or internship courses. CACREP prescribes how much supervision counseling students must receive, what formats may be

utilized to provide supervision, what credentials a supervisor providing supervision to a student in training must possess, and the ratio of supervisors to supervisees. Thus, the supervision of students in academic training to become counselors is highly regulated and carefully monitored.

The need for supervision does not end once a student graduates from a training program in counseling (Bernard & Goodyear, 2004; Borders & Cashwell, 1992). In fact, in the majority of states, counselors may not practice without supervision until they are appropriately licensed by the counseling board of the state in which they practice unless they are employed in positions exempt from licensure laws. Currently, all fifty states plus Puerto Rico and the District of Columbia have laws stipulating how much supervised practice a counselor must complete before being licensed to practice independently (American Counseling Association, 2010; American Counseling Association, 2009; Tarvydas, Leahy, & Zanskas, 2009). Requirements range from two thousand to four thousand supervised hours of direct experience providing counseling services with one hundred to two hundred hours of supervision (American Counseling Association, 2010).

Incongruencies in Supervision

Although supervision is recognized as a necessary component of counselor training, there are notable differences between how supervision is provided and conducted while a student is in academic training and after a student has graduated. To begin, while CACREP standards require supervisors in academic training programs to be trained in supervision, the majority of state licensing boards do not require supervisors of post-matriculation, pre-licensed counselors to have any training in supervision. In fact,

the literature indicates that most post-matriculation, pre-licensed counselors are supervised by master's level practitioners who have no formal training in supervision and whose only qualification to supervise is the benefit of a license (Borders & Cashwell, 1995; Nelson, Johnson & Thorngren, 2000). This situation exists despite repeated cautions in the professional literature that training and experience as a counselor does not automatically endow one with the skills necessary to supervise (Dettlaff & Dietz, 2005; Harrar, VandeCreek, & Knapp, 1990; Tanenbaum & Berman, 1990; Watkins, 1998).

In addition, while accredited academic training programs are required by CACREP to utilize multiple methods of supervision including live observation and video or audio recording of sessions, most state licensing boards do not prescribe any particular methods to be used in the supervision of post-matriculation, pre-licensed counselors. This means that many supervisors of post-matriculation, pre-licensed counselors are free to use the most convenient form of supervision, self-report, at the expense of acquiring more objective information from video or audio recordings that might provide a broader picture of a supervisee's skills. Relying primarily on a supervisee's self-report of what occurs in his or her sessions with clients hampers a supervisor's ability to engage in gatekeeping because it provides a purely subjective picture of the supervisee's skills (Bernard & Goodyear, 2004; Noelle, 2003).

Furthermore, there is very little communication between supervisors in academic programs and supervisors who provide supervision for licensure after a trainee graduates (Magnuson, Norem & Wilcoxon, 2000). Thus, supervisors of post-matriculation, pre-licensed counselors often do not know if their supervisees were identified as impaired and in need of remediation during their training programs, nor do they know what

strengths and limitations the supervisee displayed at the beginning and end of academic training. This lack of information creates a discontinuity in supervision that may hinder the supervisor's ability to effectively promote a supervisee's development and recognize potential signs that a supervisee may be faltering or in need of intervention.

Finally, while accreditation standards and course syllabi provide clear criteria for evaluation of counselors in training programs, few states have outlined specific criteria for the evaluation of post-matriculation, pre-licensed counselors for suitability to practice independently (Magnuson et al., 2000). This lack of established criteria makes it difficult for supervisors to identify the minimum standards of competence that must be reached by supervisees if they wish to receive endorsement for licensure. In the absence of such criteria it is difficult for supervisors to withhold endorsement for licensure from a supervisee based on their own subjective standards alone.

Statement of the Problem

Given the research indicating that impaired students slip through gatekeeping procedures during academic training it is imperative that supervisors of post-matriculation, pre-licensed counselors make gatekeeping a routine part of their supervision practice. However, there are no studies to date examining the extent to which these supervisors engage in gatekeeping or what factors, if any, prevent them from doing so.

Purpose of the Study

The purpose of this study was to explore the extent to which supervisors of post-matriculation, pre-licensed counselors engage in gatekeeping. Using responses to an anonymous survey, I assessed: (a) what methods of supervision supervisors of post-

matriculation, pre-licensed counselors use that promote gatekeeping; (b) whether training in supervision increases the likelihood that supervisors engage in gatekeeping; (c) if supervisors endorse individuals for licensure about whom they have reservations; and, (d) what barriers supervisors of post-matriculation, pre-licensed counselors report to engaging in gatekeeping at the licensure level.

Need for the Study

The counseling profession has an established interest in presenting itself as a legitimate source of assistance to individuals experiencing mental health concerns. It is crucial to the survival of the profession that the general public have confidence in the services provided by licensed counselors. If the profession allows an individual who lacks the knowledge, skills, or values critical to being an effective counselor to obtain licensure it erodes the confidence the public can place in its services. It seems safe to assume that just as students slip through gatekeeping procedures during their training programs, graduates of counseling programs also slip through gatekeeping in the licensure process. There is, however, no data on how often this occurs or what factors impede gatekeeping at the licensure level. This lack of information prevents the profession from developing and implementing further safeguards to prevent individuals who are poorly suited for the profession from entering independent practice where their activities are unmonitored.

Significance of the Study

Although the gatekeeping policies and practices of training programs have received a significant amount of attention in the professional literature, there are no studies examining gatekeeping at the post-matriculation, pre-licensure level. This study

begins to fill this gap in the literature by collecting data that can lay a foundation for future exploration. In addition, as state licensure boards and national professional organizations wrangle over what constitutes good supervision at the licensure level and what qualifications are needed to be a supervisor, the data collected in this study may be used to assist in establishing state and national policies.

Questions to be Addressed

Research Question 1

What methods of supervision do supervisors of post-matriculation, pre-licensed counselors use that promote gatekeeping?

Research Question 2

Do supervisors of post-matriculation, pre-licensed counselors report refusing to endorse someone for licensure?

Research Question 3

What reasons do supervisors give for refusing to endorse someone for licensure?

Research Question 4

Do supervisors of post-matriculation, pre-licensed counselors endorse supervisees for licensure in spite of having reservations about the supervisee's appropriateness for the profession or ability to practice independently?

Research Question 5

What reasons do supervisors give for endorsing someone for licensure about whom they have reservations?

Research Question 6

What, if any, relationship exists between the amount of training a supervisor has received in supervision and refusal to endorse an individual for licensure?

Research Question 7

Is there a relationship between the amount of training a supervisor has received in supervision and the amount of time spent on practices that promote gatekeeping?

Definition of Terms

Supervision

Supervision is defined by Bernard and Goodyear (2004) as:

> An intervention provided by a more senior member of a profession to a more junior member or members of that same profession. This relationship is evaluative, extends over time, and has the simultaneous purposes of enhancing the professional functioning of the more junior person(s), monitoring the quality of professional services offered to the clients that she, he, or they see, and serving as a gatekeeper for those who are to enter the particular profession (p. 8).

Gatekeeping

Gatekeeping is defined by Koerin and Miller (1995) as "preventing the graduation of students who are not equipped with the requisite knowledge, skills, and values for professional practice" (p. 247). This definition is problematic, however, because it portrays gatekeeping as a single act or one-time event while neglecting the process inherent in the performance of the act. Thus, for the purposes of this study, gatekeeping is defined as the accumulation of objective information about a trainee's professional

skills and performance for the purpose of determining if the trainee is qualified to receive academic or professional endorsements such as degrees, certifications, and licenses.

Gateslipping

For the purposes of this study, gateslipping refers to those times when impaired students slip through training programs and graduate without intervention taking place.

Supervisor

For the purposes of this study, a supervisor is defined as a counseling professional who holds a license to practice professional counseling independently in his or her state and is currently providing, or has provided, supervision to a post-matriculation, pre-licensed counselor who is pursuing a state license to practice independently as a professional counselor.

Supervisee

A supervisee is defined in this study as an individual who has graduated from a counseling or psychology training program and is receiving or has received supervision from a supervisor for the purposes of licensure as a professional counselor.

CHAPTER 2

REVIEW OF THE LITERATURE

In this chapter I review the literature on gatekeeping and supervision. I begin with an overview of gatekeeping, focusing on the need for gatekeeping, the ethical duties of supervisors to engage in gatekeeping, and the impediments to gatekeeping. I then look at supervision as an important component of the gatekeeping process, review methods that assist with gatekeeping, and discuss the limited research on the supervision of post-matriculation, pre-licensed counselors.

Gatekeeping

It is common knowledge that the workplace is filled with individuals who lack the appropriate technical and interpersonal skills to perform their job well. Such individuals present multiple managerial dilemmas for any supervisor. However, when these individuals are employed as counselors the dilemmas for the supervisor are multiplied. What might ordinarily be a problem affecting efficiency, productivity, and staff morale becomes one with the added potential of doing a disservice to – or even harming – clients. The scenario is fraught with ethical and legal issues that are not easily resolved. Clearly, it would be best if such individuals did not enter the counseling field at all. As such, it is generally agreed that in order to maintain the standards of the profession supervisors in training programs or applied settings have an obligation to intervene when it becomes clear that a student may not possess the technical or interpersonal skills to

successfully work with clients (Biaggio, Gaspairkova-Krasnec, & Bauer, 1983; Bogo, Regehr, Power,, & Regehr, 2007; Lumadue & Duffey, 1999).

The Need for Gatekeeping

Research indicates that a modestly alarming number of individuals enter counseling and other mental health programs with enough impairment to make faculty question their suitability for working with clients. In 1991, Mearns and Allen reported on a study of a representative sample of students and faculty in forty doctoral training programs in clinical psychology across the country. They found that 95% of the students in their sample reported knowing about a serious impairment in a fellow student that hindered professional functioning. Students in their study reported observing personality problems, sexism, passive-aggressiveness, lack of empathy, and ethical improprieties among their peers. Faculty members in Mearns and Allen's sample reported a similar awareness of impairment among their students, with 93% acknowledging knowing of a serious impairment in a student they had taught in the last five years.

Providing further evidence of impairment among students in training, Forrest, Elman, Gizara, and Vacha-Haase (1999) reviewed the psychology literature and concluded that training programs in psychology deal with four to five impaired students over the course of any three-year period. To explore the extent of impairment among students in counseling programs, Gaubatz and Vera (2002) surveyed 253 faculty members from a random sample of 79 community and mental health counseling programs in the United States. They asked respondents to estimate the number of problematic students in their programs who were "poorly or marginally suited for the counseling field" (p. 298). Respondents (N = 188 faculty, 67 programs) estimated that an

average of 10.4% of students in their master's programs were not appropriate for the field. Faculty from seven different programs reported that 30% or more of their students were deficient, with two programs estimating that number to be 75%. Such prevalence rates make gatekeeping necessary in order to prevent impaired individuals from inadvertently harming clients in their attempts to practice counseling.

The Ethics of Gatekeeping

Gatekeeping is not simply a good idea – it is an ethical duty. This duty is so important that both the American Counseling Association (ACA) and the Association for Counselor Education and Supervision (ACES) have devoted sections of their ethical guidelines to it. The American Counseling Association, in its 2005 *Code of Ethics*, states:

> Through ongoing evaluation and appraisal, supervisors are aware of the limitations of supervisees that might impede performance. Supervisors assist supervisees in securing remedial assistance when needed. They recommend dismissal from training programs, applied counseling settings, or state or voluntary professional credentialing processes when those supervisees are unable to provide competent professional services. (p. 14).

The ACA *Code of Ethics* further states that:

> Supervisors endorse supervisees for certification, licensure, employment, or completion of an academic or training program only when they believe supervisees are qualified for the endorsement. Regardless of qualifications, supervisors do not endorse supervisees whom they believe to be impaired in any

> way that would interfere with the performance of the duties associated with the endorsement (p. 14).

These ethical duties are mirrored in the *Ethical Guidelines for Counseling Supervisors* adopted by ACES in 1993, which states:

> Supervisors, through ongoing supervisee assessment and evaluation, should be aware of any personal or professional limitations of supervisees which are likely to impede future professional performance. Supervisors have the responsibility of recommending remedial assistance to the supervisee and of screening from the training program, applied counseling setting, or state licensure, those supervisees who are unable to provide competent professional services (2.12).

Furthermore, the ACES guidelines also state that "Supervisors should not endorse a supervisee for certification, licensure, completion of an academic training program, or continued employment if the supervisor believes the supervisee is impaired in any way that would interfere with the performance of counseling duties" (ACES, 2.13).

It is clear from these ethical guidelines that supervisors have the responsibility to refrain from endorsing a trainee for graduation, certification or licensure if they believe the trainee lacks the appropriate professional skills to practice effectively.

Remediation

It would be hypocritical of a profession rooted in the humanistic philosophy that all people can grow and change to summarily dismiss an individual at the first sign of trouble. The prevailing wisdom in the field is that if an individual demonstrates problematic personal characteristics or skills deficits while enrolled in a training program it is incumbent upon the program to attempt to help the student remediate the problem

before considering dismissal (McAdams & Foster, 2007). Indeed, the ACA Code of Ethics (2005) states:

> Counselor educators, throughout ongoing evaluation and appraisal, are aware of and address the inability of some students to achieve counseling competencies that might impede performance. Counselor educators 1) assist students in securing remedial assistance when needed, 2) seek professional consultation and document their decision to dismiss or refer students for assistance, and 3) ensure that students have recourse in a timely manner to address decisions to require them to seek assistance or to dismiss them and provide students with due process according to institutional policies and procedures (F.9.b).

This requirement mirrors the responsibilities outlined by the Association for Counselor Education and Supervision in its 1993 *Ethical Guidelines for Counseling Supervisors*, which states that, if a supervisee is thought to be impaired, the identification of such an impairment "should begin a process of feedback and remediation wherever possible so that the supervisee understands the nature of the impairment and has the opportunity to remedy the problem and continue with his/her professional development" (2.13).

Legal considerations of remediation. Ethical requirements represent a profession's ideals (Corey, Corey, & Callanan, 1998; Herlihy & Corey, 2006), which are not always legally enforceable. The opportunity for remediation, however, is one area of counseling ethics that the courts have ruled is required when responding to problematic students who are enrolled in training programs (McAdams & Foster, 2007). This requirement arises from an individual's right to due process, which "is intended to provide protection to individual citizens from arbitrary restriction of their constitutionally

endowed freedoms" (McAdams & Foster, p. 4). Kerl, Garcia, McCullough, and Maxwell (2002) note that while the courts have never officially decided it, they have assumed that enrollment in an academic program or the opportunity to pursue an education is a protected property interest that entitles a student to substantive and procedural due process. Substantive due process protects citizens from arbitrary or prejudicial treatment (Lumadue & Duffey, 1999; McAdams & Foster, 2007). So, as Knoff and Prout (1985) note, a trainee pursuing a substantive due process claim would have to prove that a dismissal or denial of endorsement was based on capricious, prejudicial or arbitrary treatment by the supervisor. Procedural due process, on the other hand, requires that some procedures be followed before depriving citizens of personal freedoms, even for legitimate reasons (Lumadue & Duffey, 1999; McAdams & Foster, 2007). In the context of training and supervising counselors, this means that trainees must receive notice of potential action against them, the reasons for it, and have the opportunity to present a defense (Lumadue & Duffey, 1999). A formal hearing, however, is not a required part of due process as long as a student has been given the opportunity to remediate the problem in lieu of dismissal (*Board of Curators v. Horowitz*, 1978).

Remediation methods. Literature regarding specific methods of remediation and their effectiveness is sparse, perhaps because each student who is identified as in need of remediation presents with a unique set of needs that makes identifying and evaluating a standard remediation method difficult. Lamb et al. (1987) note that remediation can take several forms including increased supervision, requiring a trainee to begin personal therapy, reducing a trainee's caseload, requiring additional coursework, recommending a trainee take a leave of absence, or requiring a trainee to complete a second internship.

Knoff and Prout (1985) suggest that group growth experiences or self-structured behavioral change can also be used to remediate trainee impairment. Wise, Lowery, and Silverglade (1989) discuss the benefits trainees may reap by engaging in personal counseling during the course of their training. The authors suggest personal counseling for a trainee should be considered when the trainee is not making progress in acquiring skills or when issues such as low self-esteem or life stresses are interfering with the trainee's ability to be effective with clients. Kerl et al. (2002) describe a remediation process with a student that incorporated a requirement that the student receive personal counseling before resuming clinical work. McAdams and Foster (2007) state that remediation can include removing a trainee from practicum until additional coursework can be completed and requiring regular meetings between the trainee and her/his advisor to discuss performance issues and monitor progress. As with any intervention, supervisors should begin with those that are lowest in scope and severity and impose the fewest restrictions on the trainee (McAdams & Foster, 2007).

Gatekeeping Procedures

Recognition of the duty to engage in gatekeeping has resulted in a robust discussion in the literature on the procedures recommended to discharge this duty in a legal and ethical manner. It is clear from the literature that it is best to think of gatekeeping not as a one-time event, but as a series of procedures and check points along the road to endorsement for graduation and licensure that begins with application to a training program.

Admissions

In an ideal world impaired or incompetent individuals would be screened out of counseling programs during the admission process. However, as Elman, Forest, Vacha-Hasse, and Gizara (1999) note, there are no well-validated predictors of success in counseling or psychology programs. Grades and test scores are not accurate predictors of clinical ability, nor are recommendations. Personal statements may help screen out those whose motivations for entering the field are inappropriate, but they also do not speak to clinical ability or interpersonal skills. Interviewing all applicants to counseling programs can get unwieldy quickly, and even those are not fool-proof. However, supervisors can begin gatekeeping during admissions by making training expectations clear in all of the admissions literature provided to prospective students. In fact, the ethical codes of both ACA (2005) and ACES (1993) state that professional competencies and criteria for evaluation *must* be communicated to prospective students in writing prior to admission. Clearly stating program standards and expectations prior to admission provides potential trainees with the opportunity to give informed consent and to screen themselves out of a program if they do not believe they can meet the required competencies (Elman et al., 1999).

Orientation

Once individuals have been admitted to a training program a thorough orientation is recommended to acquaint students with program expectations along with remedial, dismissal and appeal procedures. This is consistent with the ACES (1993) ethical code which states that:

> Supervisors should incorporate the principles of informed consent and participation; clarity of requirements, expectations, roles and rules; and due process and appeal into the establishment of policies and procedures of their institutions, program, courses, and individual supervisory relationships. Mechanisms for due process appeal of individual supervisory actions should be established and made available to all supervisees (Section 2.14).

The mandate to provide students with program policies related to remediation and dismissal at orientation is echoed in ACA's 2005 Code of Ethics (section F.7) which explicitly outlines the components of a thorough orientation to a counselor training program. It should come as no surprise, then, that programs accredited by the Council for the Accreditation of Counseling and Related Educational Programs (CACREP) are *required* to provide this information at orientation. Examples of evaluation policies and procedures have been published by Baldo, Softas-Nall, and Shaw (1997), and Frame and Stevens-Smith (1995).

Continuous Evaluation

Once coursework and practical experiences begin, supervisors should engage in a continuous review of their students in all spheres of expected performance – academic, technical, personal, and professional (Knoff & Prout, 1985). The review procedures should be as transparent as possible and involve all faculty and clinical supervisors (Elman & Forrest, 2007; Knoff & Prout, 1985). Elman and Forrest also suggest using multiple raters in reviewing students, including peers and clients. Systematic evaluation of students ensures that supervisors are practicing in accordance with CACREP standards and the ethics of the American Counseling Association (ACA).

Frame and Stevens-Smith (1995) described the process faculty at University of Colorado at Denver used to develop an evaluation instrument for students entering their counselor education or counseling psychology programs. Following a comprehensive review of the literature, the faculty created a list of nine characteristics they believed were essential functions to counselor development: being open, flexible, cooperative, positive, accepting of feedback, aware of impact on others, able to deal with conflict, able to accept personal responsibility, and able to express feelings effectively and appropriately. The faculty then developed an instrument, the Personal Characteristics Evaluation Form, which used a 5-point Likert scale to assess students' performance in these essential areas. Several years later, Kerl et al. (2002) published an instrument called the Professional Counseling Performance Evaluation (PCPE) used by faculty at Southwest Texas State University to evaluate students and provide them with feedback. The PCPE uses a Likert scale to rate a student's communication skills, counseling skills, ethical practice, personality traits and behaviors in an effort to assess if the student is functioning at an acceptable professional level. The PCPE is woven into all course syllabi in the program and students are provided with copies in application packets to the program, in the program handbook, and at orientation. If a student receives a score of 0 on one or more of the competencies listed on the PCPE a remediation process is initiated. The authors note that use of the PCPE in their program significantly reduced the number of students who reached graduation without being told their behavior was problematic. In addition, they stated that using the PCPE resulted in fewer dismissals from their program. It should be noted, however, that no data are provided to support their assertion.

Documenting Deficiencies

If the process of continuing evaluation reveals that a student is deficient or impaired in a particular area, systematic documentation should begin (Kerl et al., 2002). Knoff and Prout (1985) state that problems should be defined behaviorally, with a written description of the deficiency or impairment followed by the expected professional behavior. A student who has not demonstrated an ability to reflect feeling, for example, should receive a written description outlining the evidence of this deficit, the behaviors expected to demonstrate that it has been resolved, and steps the student must take to remedy the deficiency. The remediation policies offered by Baldo et al. (1997) and Frame and Stevens-Smith (1995) incorporate this principle and suggest that the written description should be reviewed with the student by the responsible supervisor and signed by both parties to acknowledge its receipt and review. In addition, a copy should be placed in the student's file. Both authors note that it may also be in the supervisor's best interest to document that consultation with other supervisors has occurred to ensure that the supervisor is not being overly critical or arbitrary in the evaluation. Finally, the student's response to remediation efforts should also be documented.

Recommending Dismissal

If supervisors have followed the steps outlined above and the student continues to exhibit problematic behavior or professional deficiencies, dismissal procedures may begin. Training programs have varying methods of handling dismissals. Regardless of method, students should have the opportunity to appeal the decision. Documentation that the recommendation for dismissal was delivered to the student along with procedures for

appeal is crucial, as is documentation of consensus among the responsible and consulting supervisors.

Barriers to Gatekeeping

Despite the documented need for gatekeeping, the clear ethical duty to engage in gatekeeping, and the availability of literature detailing gatekeeping procedures, researchers consistently find that impaired students slip through training programs without intervention. This phenomenon, commonly referred to as gateslipping, may occur at an alarming rate. Faculty in Gaubatz and Vera's (2002) survey, for example, reported intervening with only 55% of the impaired students they identified. As it turns out, there are several barriers to gatekeeping that prevent training programs and supervisors from engaging in gatekeeping practices. These problems range from defining impairment and competence to legal concerns and institutional pressures that impede implementation of remediation and dismissal plans.

Defining Impairment

One of the barriers to gatekeeping is a lack of agreement among professionals as to what behaviors indicate that a student is impaired (Forrest et al., 1999; Vacha-Haase, Davenport & Kerewsky, 2004). One of the most frequently cited definitions of impairment comes from the literature in psychology, where Lamb et al. (1987) wrote that impairment is:

> An interference in professional functioning that is reflected in one or more of the following ways: (a) an inability and/or unwillingness to acquire and integrate professional standards into one's repertoire of professional behaviors, (b) an inability to acquire professional skills in order to reach an acceptable level of

> competency, and (c) an inability to control personal stress, psychological dysfunction, and/or excessive emotional reactions that interfere with professional functioning (p. 598).

Overholser and Fine (1990), using a model of competence developed by Norman (1985), argue that impairment is marked by incompetence due to lack of knowledge, inadequate clinical skills, deficient technical skills, poor judgment, or disturbing interpersonal attributes. The authors characterize lack of knowledge as failure to understand the limits of clinical techniques, failure to recognize the limits of one's own knowledge and expertise, or failure to understand the basics of psychological processes, ethics, assessment, diagnosis or psychotherapy. They cite excessive advice-giving, excessive self-disclosure, and incomplete informed consent as evidence of inadequate clinical skills. Failure to use psychometric tests appropriately or use of specialized interventions without adequate training are both given as examples of deficient technical skills. The authors argue that inability to apply knowledge and clinical skills to develop appropriate treatment plans or respond in crisis situations is evidence of poor judgment. Finally, they note that problematic interpersonal attributes include such things as a therapist's defensiveness, lack of motivation, overuse of intellectualization, inability to tolerate silence or aggression in clients, coldness, hostility, seductiveness, pessimism, narcissism, argumentativeness, passive-aggressiveness, feelings of loneliness, insecurity, or low self-esteem.

Reviewing the literature on impairment, Frame & Stevens-Smith (1995) found a wide range of behaviors cited as signs of impairment, including sexual intimacy with clients, chemical dependency, mental illness, personal conflicts, inability to concentrate,

mood swings, disorganization, poor grooming and attire, and conflicts with co-workers. Similarly, Bhat (2005) states that substance abuse, pronounced personality disorders, prejudicial attitudes/values, interpersonal insensitivity, need for narcissistic idealization, a pathological desire to parent, fantasies about being a rescuer, or a need for complete control over another are signs of impairment.

Referring specifically to counselors, the American Counseling Association's Task Force on Impaired Counselors defined counselor impairment as follows:

> Therapeutic impairment occurs when there is a significant negative impact on a counselor's professional functioning which compromises client care or poses the potential for harm to the client. Impairment may be due to: substance abuse or chemical dependency, mental illness, personal crisis (traumatic events or vicarious trauma, burnout, life crisis), or physical illness or debilitation (Lawson & Venart, 2003, p. 3).

In an attempt to tie the theoretical literature with actual realities in training programs, Vacha-Haase et al. (2004) surveyed 281 training directors in clinical, counseling, and school psychology programs accredited by the American Psychological Association (APA) about their experiences with impaired students. Respondents (N = 106) reported dealing with several problematic behaviors among their students. Sixty five percent reported dealing with students with inadequate clinical skills, while 42% reported dealing with students with problematic interpersonal skills. Fifty-two percent reported having students who displayed defensiveness in supervision.

The broad definitions of impairment provided by the literature leave plenty of room for supervisees to be defined as impaired. As such, it must be recognized that

"trainee impairment or incompetence is not a single, static event or outcome but a state that emerges over an extended period of time while embedded in contextual elements of the system" (Elman et al., 1999, p. 718). Single episodes rarely justify remedial action or dismissal from training. Instead, impairment is evidenced by an accumulation of behaviors or events. Even then, it must be considered that those behaviors or events occur within a system that acts upon the individual as much as the individual acts upon it. Some behaviors that appear unusual may actually be understandable inside a dysfunctional system. Thus, supervisors must be careful to separate the individual from the environment when evaluating the nature and severity of impairment.

Defining Competence

Just as the field struggles to define impairment it also wrestles with the definition of competence. Counseling is not a science with fixed answers. Rather, it is an applied field that requires both academic knowledge and a behavioral repertoire in order to produce results. Trainees can be very good at taking tests, writing essays and completing other academic assignments and still be ineffective counselors. Knowledge or academic ability alone does not imply clinical competence (Lumadue & Duffey, 1999; Lysaght & Altschuld, 2000), though supervisors in training programs often have trouble making this distinction (Forrest et al., 1999; Koerin & Miller, 1995). Furthermore, as Overholser & Fine (1990) note, the possession of a skill does not imply an ability to competently use it. Almost all people have the ability to sing, for example, but that does not mean that they sing well. Barnett, Doll, Younggren & Rubin (2007) argue that competency should be viewed on a continuum. Just as vocal performance ranges from superb to horrible, so does counseling performance. They also note that, just as incompetence is not revealed

by a single event in time, neither is competence. Rather, competence is demonstrated on a continuous basis over the course of time. Finally, they point out that competence in one area does not equate to competence in another. A trainee who demonstrates superb assessment skills may be woefully inept at individual therapy. Thus, the best definition of competence appears to be that set forth by Lysaght & Altschuld (2000), who defined it as "the degree to which individuals can apply the skills and knowledge associated with a profession to the full range of situations that fall within the domain of that particular profession" (p. 95).

Several attempts have been made to define what personal qualities, attitudes and characteristics counselors must possess in order to be effective. Kerl et al. (2002) point to such things as empathy, genuineness, acceptance, the ability to give and receive feedback, honesty, the ability to access and share feelings, and the ability to establish and maintain relationships. Overholser and Fine (1990) believe the behavioral signs of competence are empathy, warmth, genuineness, composure, sensitivity, an ability to communicate with a wide variety of people and an ability to maintain appropriate relationships with clients and colleagues. Frame and Stevens-Smith (1995) describe nine characteristics which the University of Colorado at Denver decided were "essential functions" of counselors: openness, flexibility, cooperation, willingness to use and accept feedback, a positive attitude, awareness of how self impacts others, ability to deal with conflict, acceptance of personal responsibility, and ability to express feelings effectively and appropriately. Though far from a settled issue, these attempts to define competence can help supervisors establish minimum standards that trainees must meet in order to receive endorsement.

Legal Concerns

Aside from disagreements over the definitions of impairment and competence, the biggest barrier to gatekeeping is the fear of legal proceedings (Frame & Stevens-Smith, 1995; Kerl et al., 2002; Lumadue & Duffey, 1999; Vacha-Haase et al., 2004). In their survey of 243 faculty members from 79 randomly selected community and mental health counseling programs in the United States, Gaubatz and Vera (2002) found that students were significantly more likely to slip through gatekeeping procedures in programs in which faculty reported fear of being sued. However, the probability of supervisors becoming embroiled in legal proceedings over gatekeeping appears relatively low. In their review of the literature, Forrest et al. (1999) found that only one out of every four to twenty dismissals from graduate psychology programs is contested in court. Even when a dismissal is contested, the courts appear reluctant to overturn the decisions of faculty as long as due process has been observed (Kerl et al., 2002; Knoff & Prout, 1985; Lumadue & Duffey, 1999; McAdams & Foster, 2007; McAdams, Foster, & Ward, 2007).

Institutional Pressures

Although they do not explore it in great detail, Gaubatz and Vera (2002) found that another barrier to gatekeeping is the institutional pressure faculty supervisors face to avoid screening for deficient students. There are, to be sure, certain financial pressures that make it inconvenient for a school to dismiss a student. Dismissals result in a loss of income from the student's tuition and thus a loss of revenue for the program and school. The desire to avoid costly legal proceedings, even if they are likely to win, may also lead institutions to deter their faculty from gatekeeping. The authors also note that faculty in

training programs worry about retaliatory action from students in the form of poor teaching evaluations, a concern echoed by Robiner (2008). Furthermore, Miller and Koerin (2002) noted that some supervisors worry that their assessment of a supervisee will not be supported by their colleagues or superiors.

Program Accreditation

An interesting correlate in the exercise of gatekeeping is the accreditation status of the counseling program. Gaubatz and Vera (2002) found that programs with formalized gatekeeping procedures were significantly less likely to report allowing impaired or problematic students to slip through their programs without intervention. Formalized gatekeeping procedures, including written explanations of retention policies, dismissal policies and appeal policies, are required in programs accredited CACREP (2009). Programs without accreditation are not required to have such procedures, which increases the opportunity for impaired or problematic students to escape intervention.

Faculty Status

Another interesting finding in the Gaubatz and Vera (2002) study is that gateslipping is more likely to occur in programs with a high percentage of adjunct faculty. Adjunct faculty members are not involved in the full-time education of counseling students and have little opportunity to interact with or observe students outside of class. Even when they become aware that a student may not be suitable for the profession they may not intervene, believing that they are only a minor player in the program and that others (full-time faculty, an internship supervisor, etc.) will take care of the problem (Elman et al., 1999).

The Nature of Counselors

A significant factor creating a barrier to gatekeeping is the nature of counselors themselves. Counselors are accustomed to helping clients reach their goals, not denying them. When faced with a trainee who is impaired or deficient counselors may be more inclined to try and help than to suggest reconsideration of professional goals (Forrest et al., 1999; Kerl et al., 2002; Robiner, 2008). Indeed, Bogo, et al. (2007), in a qualitative study of social work field supervisors designed to explore field instructors' experiences with teaching and assessing competence, found that participants ($N = 100$) reported a conflict between the need to determine a supervisee's skill level on the one hand and their own professional values of being nonjudgmental, using a strengths-based perspective, and promoting trainee growth.

There is also evidence that supervisors' own emotions and empathy interfere with gatekeeping. Miller and Koerin (2002), in their review of the literature on gatekeeping, note that some supervisors feel insecure about the adequacy of the supervision they have provided or the accuracy of their assessment of a trainee's skills and this insecurity interferes with their willingness to engage in gatekeeping. In addition, Gizara and Forrest's (2004) qualitative study of twelve clinical supervisors in university counseling centers with APA accredited internship programs found that strong feelings of guilt and sadness often interfere when a supervisor is deciding whether or not to intervene with an impaired trainee. Similarly, Samec (1999), in a qualitative study of thirteen licensed therapists had one participant report fear of hurting a supervisee's feelings as an impediment to gatekeeping. These findings provide credence to an observation made by Robiner (2008) who states:

> The immediate distress of the trainee is likely to be more salient to the supervisor, and thereby the focus of his or her concerns, than whatever later distress may be triggered in the trainee's future clientele who may be harmed if the personal and performance issues are not dealt with adequately. At the time of supervision, future patients' distress is merely an abstraction that an uneasy supervisor can hope will not materialize (p. 596).

Social Loafing

Social psychologists have long known that people exert less effort when they believe they are acting as part of a larger group rather than alone. This phenomenon was dubbed social loafing by the researcher Bibb Latane (Sabini, 1995). Because the training of an individual for a career in counseling involves multiple instructors and supervisors, Elman et al. (1999) note that individual faculty or supervisors may fall victim to the social loafing phenomenon and feel less accountable, assuming someone else will take care of the problem if a student shows evidence of impairment. Faculty assume supervisors will address the issue and supervisors assume faculty will address it. Given the various obstacles to gatekeeping cited here, it is not difficult to see how easy it would be for a supervisor to engage in social loafing. Johnson (2008) acknowledges this temptation, noting that "supervisors may feel pressure to give incompetent interns passing evaluations. . . perhaps hoping that state licensing boards will detect and screen out such trainees at the credentialing stage" (p. 591).

Supervision

Effective gatekeeping of counseling students requires regular monitoring of trainees' academic and clinical performance. While academic performance is monitored

via evaluation of trainee performance on assignments and exams, clinical performance is monitored through a process known as supervision. Supervision is defined in the literature as a method in which a more senior member of a profession monitors and evaluates the services provided by the student-trainee with the goal of enhancing the trainee's proficiency while also safeguarding client welfare (Bernard & Goodyear, 2004; Falendar & Shafranske, 2004; Rich, 1993). Supervisors provide supervision in several different formats. In individual supervision, supervisor and supervisee meet to review the supervisee's cases, discuss concerns either may have about the supervisee's work, expand the supervisee's level of skill and knowledge, and receive feedback. Triadic supervision refers to a meeting between a supervisor and two supervisees in which the same objectives as those mentioned for individual supervision are pursued. A third format is group supervision, which involves a meeting between a supervisor and several supervisees for the purpose of reviewing cases, receiving feedback, expanding knowledge and skills, and discussing concerns.

Gatekeeping as a Purpose of Supervision

Gatekeeping is widely acknowledged in the literature as a purpose of supervision. Bernard and Goodyear (2004) write that, in addition to teaching skills and professional values, supervision serves to "protect clients, and finally, monitor the readiness of supervisees to be admitted to the profession" (p. 2). Sherry (1997) echoes this assertion, remarking that "supervision must examine supervisee behavior in terms of benefit to present and future clients and to the profession as a whole" (p. 582). Holloway and Neufeldt (1995) concur, noting that educators, trainers, and professional regulatory bodies consider supervision critical to ensuring a trainee's suitability for the profession.

Schwartz-Mette (2009) specifically notes the responsibility supervisors bear to address impairment in trainees. Furthermore, as noted previously, the ethical codes of both ACA (2005) and ACES (1993) explicitly require supervisors to engage in gatekeeping when providing supervision.

Methods of Supervision that Contribute to Gatekeeping

There is no research exploring the extent to which specific methods of supervision contribute to gatekeeping or how effective they are. However, there are several established procedures supervisors can use that might be assumed to promote gatekeeping. These methods assist the supervisor in setting the parameters of supervision by defining expectations, and evaluation procedures; collecting data that can be used to evaluate a trainee's skills; and documenting the process of supervision including recommendations and remediation efforts.

Setting parameters with supervision contracts

In an article suggesting how counselors seeking supervision for licensure should go about selecting a supervisor, Magnuson et al. (2002) state that "competent supervisors define the parameters of supervision in the context of a supervisor-supervisee contract" (¶ 11). The use of supervision contracts is recommended by multiple authors, including Bernard and Goodyear (2004), Borders and Brown (2005), Haynes, Corey, and Moulton (2003), Osborn and Davis (1996), Sherry (1997), and Tanenbaum and Berman (1990). Osborn and Davis state that supervision contracts clarify the methods, goals, and expectations of supervision; encourage professional collaboration; maintain ethical principles; document the services to be provided in supervision; and align supervision practice with the practice of counseling and consultation. They suggest supervision

contracts include the purpose, goals, and objectives of supervision; the context in which supervision will be delivered; the methods of evaluation to be used; the duties and responsibilities of both supervisor and supervisee; procedural considerations such as emergency contacts and record keeping; and the supervisor's scope of practice. Magnuson et al. (2000) state that supervision contracts should include supervisors' requirements; supervisees' initial goals; schedules to be followed; projected duration of supervision; modalities and interventions to be employed; mechanisms for documentation and maintenance of records; methods and purposes of evaluation; procedures for informing recipients of supervisees' services about supervisory relationships and the limits of confidentiality; guidelines for responding to emergencies; and provisions related to due process and filing complaints. Finally, in their survey of thirty faculty members in marriage and family therapy training programs, Russell et al. (2007) found that participants highlighted the need to include specific information about the supervisor's gatekeeping responsibilities within the supervision contract. Supervisors who follow these recommendations and develop supervision contracts meet the ethical requirements of both ACA and ACES to provide trainees with orientation to the training experience, information on evaluation criteria and procedures, and supervision goals and objectives. Examples of supervision contracts can be found in multiple places within the professional literature and on the World Wide Web.

Collecting data

Live observation. Live observation is a process in which a supervisor watches a supervisee provide counseling services in real time without interacting with the supervisee. This form of supervision is frequently used in training programs, where

facilities with one-way mirrors and special audio equipment exist specifically to accommodate it. It is less likely to be used outside of training programs due to structural limitations (Bernard & Goodyear, 2004). However, live observation offers several advantages which have been outlined by Bernard and Goodyear. These advantages include the opportunity for the supervisor to intervene immediately in emergency situations and to conduct supervision immediately after the supervisee completes the session. In addition, live observation provides supervisors with the most complete picture of all that is transpiring in a supervisee's session with a client (Borders & Brown, 2005).

*Audiotape***.** When live observation is either impractical or impossible, supervisors may ask their supervisees to make audio recordings of the counseling sessions they provide. Review of audio recordings of supervisees providing counseling is a widely used method in supervision. Although the prospect of having a supervisor listen to, and critique, sessions can make a supervisee uncomfortable, Magnuson, Wilcoxon and Norem (2000) found that supervisees consistently reported review of audiotape as a beneficial aspect of their own supervision.

Videotape. When the appropriate equipment is available supervisors may choose to have supervisees make video recordings of their counseling sessions for the supervisor's review. Video recordings of supervisees providing counseling allows a supervisor to both hear and see what is happening in the room. In addition, the supervisor can play back portions of the video for the supervisee during supervision in order to facilitate feedback and learning. While there are no studies supporting or

refuting the superiority of videotape over audiotape with respect to supervision, Bernard and Goodyear (2004) noted that arguments have been made as to the superiority of video.

Review of paperwork. In addition to evaluating a supervisee's clinical skills through recordings or live observation, supervisors may also review clinical notes, assessments, and reports kept by the supervisee. Such reviews ensure supervisees are documenting relevant client concerns and interventions, contact information, case management activities, and risk assessments. Standards for what should be included in records have been published by the American Psychological Association (2007), Moline, Williams and Austin (1998), and Luepker (2003), among others.

Structured assessments. The last two decades have seen an explosion of research on the outcomes of counseling and psychotherapy. Driven in part by the need to prove to third-party payers that their interventions produce measurable, positive change in clients, mental health professionals have developed an array of formal assessments to monitor the effectiveness of their treatments. In fact, Lambert and Hawkins (2004) note that over fourteen hundred outcome measures exist for measuring treatment outcomes. While these measures provide information on whether or not a client is improving, they do not always provide feedback on the client's degree of satisfaction with the counselor. Moreover, procedures for regularly collecting and analyzing outcome data in clinical practice are not typically emphasized in counseling training programs. In addition, administering and tracking outcome measures can be costly and time consuming for both supervisors and supervisees. Thus, use of outcome measures in day to day practice is limited. Phelps, Eisman and Kohout (1998), in a survey of 15,918 practicing

psychologists found that only 29% of the sample reported engaging in outcome assessment as a part of their practice.

Client satisfaction surveys provide another means of collecting data about a supervisee's skills. These surveys are administered to clients in an effort to assess their overall level of satisfaction with the services they receive from their counselor. Examples of satisfaction surveys abound on the internet, and supervisors may tailor a survey to include information on specific skills of interest to the supervisor in determining the supervisee's level of skill and suitability for the profession.

Self-report. Supervisors can also collect data on a supervisee's skills through self-report. Noelle (2003) defines self-report as "the transfer for information from the therapist-trainee to the supervisor, specifically through the trainee's describing what occurred during a therapy session" (p. 126). Noelle argues that self-report allows a supervisor to focus more on a supervisee's feelings, impressions, and intuitions about a client, providing a level of information that may not be accessible through more objective means such as audio or video recording. At the same time, Noelle cautions that self-report has very low validity and reliability. Bernard and Goodyear (2004) provide a similar caution, noting the opportunity for distortion in self-report and labeling its use as the sole supervision method with novice counselors "foolhardy" (p. 232). Fall and Sutton (2004) cite the risk to client welfare and supervisee development when relying solely on the supervisee's self-report, which is only one perception of what transpires during sessions. Borders and Brown (2005) express similar concerns, noting that self-report allows a supervisee to choose what to report to a supervisor and critical information about the client or the counseling relationship may be left out.

Clearly, the biggest concern with self-report is that supervisees will consciously or unconsciously distort or withhold information from their supervisors that is crucial to helping the client and promoting the supervisee's development. Ladany, Hill, Corbett, and Nutt (1996) conducted a quantative study of students at various stages of training in clinical or counseling psychology programs to assess the degree to which they withheld information from their supervisors. Participants (N = 108; 86 women, 21 men, 1 unspecified; 87 European American, 5 Hispanic American, 4 African American, 4 Asian American, 1 Native American, 7 unspecified race/ethnicity) completed four different questionnaires collecting information on participants non-disclosures in supervision, their satisfaction with supervision, their perception of their supervisor's style, and their demographics. The authors found that participants reported an average of eight non-disclosures, typically involving personal issues, negative reactions to the supervisor, evaluation concerns, clinical mistakes, or general client observations. Twenty-two percent of the sample reported withholding countertransference feelings from their supervisor. The same number reported withholding feelings of attraction to their client from their supervisor. Forty-four percent of the sample acknowledged failing to report clinical mistakes to their supervisor, while 36% admitted withholding negative reactions to a client from their supervisor. The concerns about self-report, then, are well-founded and led the authors to recommend use of audiotape, videotape, and live observation in conjunction with self-report.

Documenting supervision

Supervisors support gatekeeping efforts by documenting supervision as thoroughly and consistently as they document individual, group, family, or couples

counseling. The importance of documenting supervision has been emphasized by Bernard and Goodyear (2004), Borders and Brown (2005), Bridge and Bascue (1990), Disney and Stephens (1994), Falvey and Cohen (2004), Harrar, et al. (1990), Haynes, Corey, and Moulton (2003), Tanenbaum and Berman (1990), and Westefeld (2008). Tanenbaum and Berman state that documentation of supervision should include the number of hours of supervision provided and notes on each case discussed in supervision. Bridge asserts that supervisors should also include notes regarding any documents reviewed with the supervisee, any video or audiotapes examined by the supervisor, and any treatment, training, or educational recommendations given to the supervisee. Westefeld argues that supervision records should include a log of every supervision contact, a description of the content of each session, notes on each client the supervisee sees, records of evaluations given to the supervisee, and notes regarding each client with whom the supervisee has terminated or to whom the supervisee has given a referral. The need to keep good records of supervision led to the development of several different forms for documenting it, including the Supervisory Record Form (SRF; Bridge & Bascue, 1990), the Focused Risk Management Supervision Systems (FoRMSS; Falvey, Caldwell, & Cohen, 1996), and the Clinical Supervision Notes Record Form (CSNRF; Brantly, 2001). It should be noted, however, that while the importance of keeping good records of supervision is clear, supervisors are not obligated to use any of the forms available to them in the literature.

Post-Matriculation, Pre-Licensure Supervision

Methods

It should now be clear that supervisors can engage in gatekeeping during supervision in many different ways. During academic training the supervision methods that must be used are actually prescribed by CACREP (2009) standards which: (a) require that programs receiving accreditation provide some way in which students can record their counseling sessions for the purpose of supervision; (b) clearly delineate how often supervisors must meet with supervisees; and (c) set forth the type of training and qualifications individuals providing supervision must have in order to be supervisors.

Once a student graduates from a training program, however, the methods a supervisor must use in order to assess a supervisee's level of skill are rarely spelled out. While training programs desiring accreditation must meet explicit standards set by a national credentialing body, supervisors of post-matriculation, pre-licensed counselors must only follow the standards set by the licensing board of the state in which they practice. Borders and Cashwell (1995) found that in 1992 only four states required supervisors to engage in direct methods of supervision such as review of video or audio tapes. Today, a full seventeen years since the Borders and Cashwell study, a review of the licensing requirements in each state finds that only eight require supervisors to use direct methods in the course of providing supervision to a candidate for licensure (American Counseling Association, 2008). Even then only one state, Arizona, specifies precisely how many hours must be spent engaged in direct methods of supervision. The other seven states only mention that direct methods must be used in supervision but do

not state how often. In the absence of specific requirements it is easy for supervisors to resort to the least time consuming method, self-report, to evaluate a supervisee's work.

Limited research

Despite an abundance of research on the supervision of individuals enrolled in counseling and psychology training programs, very little is actually known about the supervision of post-matriculation, pre-licensed counselors. Borders and Cashwell (1995) were the first to study this area. They surveyed supervisors of post-matriculation, pre-licensed counselors in two states. One state had specific regulations for supervision, including a requirement that supervisors use direct methods such as review of audiotape when conducting supervision. The other state had no requirements regarding supervision methods. Only 31% of the sample (n = 190) reported using a supervision contract to set the parameters of supervision. Respondents reported using self-report more than any other method of supervision, though supervisors in the state requiring direct methods were significantly more likely to report reviewing videotape or audiotape than those in the state with no method requirements. Supervisors in both states reported live observation was the least used method of supervision. To provide feedback to supervisees, supervisors relied most on their overall impressions, followed by the behavior of the supervisee during supervision and review of case notes or treatment plans. Feedback from clients was the least cited source of information for providing feedback.

At the same time that Borders and Cashwell (1995) were collecting their quantitative data, Magnuson (1995) conducted a qualitative study of three counselor educators, four prelicensed counselors, and five supervisors of prelicensed counselors in

the state of Alabama to determine the needs of prelicensed counselors, the outcome indicators of effective supervision of prelicensed counselors, practices that contribute to their professional development, and the purposes of mandatory supervision of prelicensed counselors. Although the qualitative nature of the study and the small size sample precludes generalization of the results to a larger population, Magnuson found wide variation in how the supervisors went about providing supervision. Some supervisors in her study reported using live observation to assess supervisee skills while others did not. Similarly, some supervisors reported reviewing audiotapes while others did not. A few supervisors chose to review the case files kept by their supervisees, but not all did. In addition, not all supervisors in her sample reported keeping notes about their sessions with supervisees.

At the time of my current research study, Fall and Sutton (2004) had conducted the most recent study of supervision of post-matriculation, pre-licensed counselors. They sought to assess the amount of experience and training supervisors of such counselors had received, the content of the supervision process from the perspective of the supervisor and supervisee, and the perceptions of supervisors and supervisees regarding the actual and ideal supervision roles and functions. Their sample consisted of 67 supervisors (25 men and 42 women) from the state of Maine. They found that only 22% of the sample reported using audio or video tape in supervision. Only 37% of the sample reported using live observation. Sixty-nine percent of the sample reported reviewing a supervisee's case notes. When asked to estimate how much supervision time was spent using a particular method, supervisors reported self-report accounted for 75% of the time.

Training

In addition to ill-defined standards for what post-matriculation, pre-licensure supervision must entail, there is wide variation among the states as to the type and amount of training someone providing supervision for licensure must have. A review of the ACA (2008) report on state regulations on the training needed to be a supervisor finds that 28 states do not specify what amount of training, if any, supervisors of post-matriculation, pre-licensed counselors must have in order to provide supervision. Four states have clauses stating that supervisors must have training in supervision, but they do not specify how much. 15 states require supervisors to have a certain number of continuing education hours (ranging from three to over thirty) in order to be supervisors. Three states require supervisors to complete a graduate course in supervision. This variation exists despite repeated assertions in the literature that specific training in supervision is necessary to conduct it effectively. Dettlaff and Dietz (2005) assert that supervisors "must be taught specific skills to facilitate students' abilities to integrate theory with practice, think critically, adhere to ethical standards, and communicate openly and effectively" (p. 17). Remarking on the often made assumption that a competent therapist can be a competent supervisor without any additional training, Tanenbaum and Berman (1990) caution that mental health professionals "would be wise not to view their professional credentials as legal license to practice any and all forms of psychotherapy supervision" (p. 67).

The need for training in supervision has some empirical support. In their qualitative study with experienced and new field supervisors in social work, Dettlaff and Dietz (2005) explored what knowledge and skills field supervisors cited as important to

good supervision. They found that participants ($N = 7$; 5 female/2 male; 6 Anglo, 1 Asian-American) stressed the need for specific training in supervision, particularly emphasizing the importance of understanding methods of supervision and how to link theory with practice in providing effective supervision. They also expressed a need for tools to evaluate supervisee knowledge and skills. There remains, however, a need for studies examining how satisfied supervisees are with supervision provided by supervisors with little to no training versus those with significant amounts of training.

Conclusion

In this chapter I have reviewed the literature on gatekeeping, focusing on the need for gatekeeping, the ethical duties of supervisors to engage in gatekeeping, and the impediments to gatekeeping. I have also examined the role supervision plays in the gatekeeping process, reviewing methods that assist with gatekeeping and discussing the limited research on the supervision of post-matriculation, pre-licensed counselors.

CHAPTER 3

METHODOLOGY

In the literature review in Chapter Two, I examined the importance of gatekeeping, barriers to gatekeeping, and supervision practices that provide information which can be used for gatekeeping. I concluded with a discussion of the paucity of literature available on the gatekeeping practices of supervisors of post-matriculation, pre-licensed counselors. In this chapter I describe the methodology for examining the gatekeeping practices of such supervisors. I begin with a presentation of the research questions and hypotheses for my study, followed by a description of the sampling procedures and recruitment methods. I then describe the development and design of the instrument used to collect information for this study. The chapter concludes with a review of the methods for examining the data and the potential limitations of the study.

Research Questions and Hypotheses

The primary purpose of this study is to explore the extent to which supervisors of post-matriculation, pre-licensed counselors engage in gatekeeping practices. The research questions that guided my study and the hypotheses tested included:

Research Question 1

What methods of supervision do supervisors of post-matriculation, pre-licensed counselors engage in that promote gatekeeping?

Hypothesis 1

Supervisors of post-matriculation, pre-licensed counselors will report using self-report more than any other method of supervision.

Research Question 2

Do supervisors of post-matriculation, pre-licensed counselor report refusing to endorse someone for licensure?

Hypothesis 2

Consistent with the literature on gatekeeping, supervisors will report refusing to endorse some individuals for licensure.

Research Question 3

What reasons do supervisors give for refusing to endorse someone for licensure?

Research Question 4

Do supervisors of post-matriculation, pre-licensed counselors endorse supervisees for licensure in spite of reservations about the supervisee's appropriateness for the profession or ability to practice independently?

Hypothesis 4

Consistent with the literature on gatekeeping during academic training, supervisors of post-matriculation, pre-licensed counselors will report endorsing supervisees for licensure in spite of reservations about the supervisee's appropriateness for the profession or ability to practice independently.

Research Question 5

What reasons do supervisors give for endorsing someone for licensure about whom they have reservations?

Research Question 6

Is there a difference in the total number of hours of training in supervision between supervisors who have refused to endorse an individual for licensure and those who have never refused to endorse someone for licensure?

Hypothesis 6

There will be no difference in the total number of hours of training in supervision between supervisors who have refused to endorse someone for licensure and those who have never refused to endorse someone for licensure.

Research Question 7

Is there a relationship between the amount of training a supervisor has received in supervision and the amount of time spent on practices that promote gatekeeping?

Hypothesis 7

There will be no relationship between the amount of training a supervisor has received in supervision and the amount of time spent on practices that promote gatekeeping.

Instrumentation

Participants completed an on-line survey of supervision practices developed specifically for this study. An on-line format was chosen because it is cost-effective and increases the likelihood that participants will be candid in their responses (Kiesler & Sproull, 1986). The survey consisted of twenty-four items designed to collect information on participant demographics, training, experience, supervision methods, and history of endorsing individuals for licensure despite reservations. Demographic information was collected using multiple choice questions requiring participants to select

the answer that best describes them. Information about the extent to which supervisors engaged in gatekeeping was collected through the use of open-ended questions that required participants to enter either a number or text. All questions, including their wording and format, were designed following the principles outlined by Dillman, Smyth and Christian (2009). A copy of the survey is available for review in Appendix A.

Item Development

Items for the survey were developed from the literature on supervision and gatekeeping. This review yielded a list of nine supervisory practices that were consistently cited across the professional literature as assisting supervisors in obtaining objective information about a supervisee's performance and/or setting a framework that facilitates gatekeeping. These nine practices were:

1. Establishing a supervision contract (Borders & Brown, 2005; Bernard & Goodyear, 2004; Haynes, Corey & Moulton, 2003; Falendar & Shafranske, 2004; Magnuson et al., 2002; Sherry, 1997; Tanenbaum & Berman, 1990).
2. Keeping supervision notes (Borders & Brown, 2005; Haynes, Corey & Moulton, 2003; Falendar & Shafranske, 2004; Tanenbaum & Berman, 1990; Westefeld, 2008).
3. Engaging in live observation (Bernard & Goodyear, 2004; Borders & Brown, 2005; Campbell, 2006; Falendar & Shafranske, 2004; Haynes, Corey, & Moulton, 2003).
4. Reviewing audio recordings of supervisee providing services (Bernard & Goodyear, 2004; Borders & Brown, 2005; Campbell, 2006; Haynes, Corey & Moulton, 2003).

5. Reviewing video recordings of supervisees providing services (Bernard & Goodyear, 2004; Borders & Brown, 2005; Campbell, 2006; Falendar & Shafranske, 2004; Haynes, Corey, & Moulton, 2003).
6. Reviewing a supervisee's intakes, case notes, and other written documentation (APA, 2007; Falendar & Shafranske, 2004; Fall & Sutton, 2004; Haynes, Corey, & Moulton, 2003; Luepker, 2003; Moline, Williams, & Austin, 1998).
7. Reviewing the results of client satisfaction surveys completed by clients of a supervisee (Borders & Cashwell, 1995; Falendar & Shafranske, 2004).
8. Asking supervisees if they were ever required to complete a remediation plan during the course of their graduate training (ACA, 2005; Knoff & Prout, 1985; McAdams & Foster, 2007).
9. Contacting a supervisee's previous academic or clinical supervisors (Elman & Forrest, 2007; Frame & Stevens-Smith, 1995; Knoff & Prout, 1985).

Four additional questions were derived from the literature on gateslipping, the phenomenon in which impaired students slip through training programs without intervention (Forrest et al, 1999). These questions were:

1. The number of individuals that supervisors have refused to endorse for licensure (Gaubatz & Vera, 2002).
2. Supervisors' reasons for refusing to endorse someone for licensure (Bhat, 2005; Frame & Stevens-Smith, 1995; Overholser & Fine, 1990).
3. The number of individuals that supervisors have endorsed in spite of reservations about the individual's skill level or suitability for the profession (Gaubatz & Vera, 2002).

4. Supervisors' reasons for endorsing someone in spite of their reservations (Frame & Stevens-Smith, 1995; Kerl et al., 2002; Lumadue & Duffey, 1999; Miller & Koerin, 2002; Vacha-Haase et al., 2004).

The remaining survey items were designed to collect demographic information on participants to facilitate data analysis. Specifically, these items asked participants to provide the following information: (a) their sex, race/ethnicity, and age; (b) the highest degree they had obtained in counseling, psychology, or social work; (c) the type of license they held; d) the number of years they had been licensed; (e) the number years they had been providing supervision for licensure (post academic); (f) the total number of individuals they had supervised for licensure as a counselor; (g) if they were supervising someone for licensure as a counselor at the time of the survey; and, (h) the number of hours of training they had in supervision.

Review by Supervisory Experts and Piloting of Instrument

The survey was placed on-line using QuestionPro and piloted to assess its readability and ease of use, as well as its construct validity, content validity, and face validity. Pilot participants ($N = 14$) were primarily doctoral level counselor educators (71.43%) with experience providing supervision for licensure, making them experts in supervision both during and after academic training. Three participants (28.57%) were master's-level clinicians with experience providing supervision for licensure. Pilot participants received an e-mail inviting them to participate in the pilot study (see Appendix B). Five questions were added to the end of the survey to solicit general comments from participants regarding the clarity of the survey, ease of using the web

format, readability of the survey, and time to completion. Participants were also asked to comment on any questions that made them feel defensive or uncomfortable.

Results of the pilot

A total of ten surveys were completed by pilot participants yielding a return rate of 71%. Participants (3 male, 7 female; 8 doctoral-level, 2 master's-level) reported needing an average of 10.2 minutes to complete the survey and had no concerns related to its readability or format. Minor changes were made to the wording of two questions to increase clarity. In the first case, four participants reported engaging in live supervision at rates entirely inconsistent with the literature (100 -200 hours over the course of supervision). Although it is possible the participants were reporting accurately, it is also possible they were confusing the term "live supervision" with face-to-face supervision in which the supervisor and supervisee meet "live" and in person. To avoid this possible confusion during the administration of the survey "live supervision" was changed to the more accurate term "live observation," and defined in the final draft of the survey. In the second case, one participant reported some confusion when asked to enter the total number of hours of training in supervision the participant had. This participant reported credit hours instead of clock hours. The question was thus changed to clarify that the survey was asking for clock hours. Participant comments, coupled with a review of the research questions and consultation with the researcher's dissertation chair resulted in a final draft of the survey items as presented in Appendix A.

Population and Sample

The selected population for this study included supervisors who were currently providing supervision for licensure to post-matriculation, pre-licensed counselors, or who

had provided such supervision in the past ten years. This population was chosen because the purpose of the study was to explore if and how gatekeeping is conducted as post-matriculation counselors move towards independent licensure. The study was based on a convenience sample of supervisors derived from: (a) lists of supervisors that were publicly available on the World Wide Web; (b) lists of supervisors provided by cooperating state counseling licensing boards and associations; and, (c) subscribers to listservs managed through state licensing boards, state counseling associations, or national counseling associations.

Sampling Procedure

A list of 640 supervisor e-mail addresses was compiled from public information available on the World Wide Web. In addition, all state counseling boards were contacted (see Appendix C) to ascertain their willingness to provide e-mail addresses for individual supervisors who had endorsed someone for licensure in the last two years. An additional 469 e-mail addresses were compiled for licensed counselors in various states with no specific regulations regarding supervisor qualifications. It is possible that any of these counselors had provided supervision in the past or were in the process of providing supervision at the time of the survey. One state agreed to forward an e-mail invitation to participate in the survey to all 684 of its licensed counselors in lieu of providing e-mail addresses to the researcher. Similarly, one state counseling association agreed to forward an e-mail invitation to its list of 164 members who identified as supervisors. As the study proceeded, an additional 43 supervisors and 163 counselors who might have been supervisors were identified on the web and added to the sample. Finally, an invitation to participate in the study was sent to the Counselor Education and Supervision Network

(CESNET) listserv comprised of 1540 subscribers. Members of the CESNET listserv were asked to take the survey themselves, if they met criteria, or to forward the invitation to individuals they knew who might meet study criteria. Thus, it is possible that the invitation reached more people than the 1540 subscribers on the listserv. The process of accumulating e-mail addresses, enlisting the help of state counseling boards and associations, and sending invitations out to listservs resulted in approximately 3703 participants receiving invitations to complete the survey.

It should be noted that while at least 3703 individuals received invitations to participate in the study, it is virtually impossible to know how many of those individuals actually *qualified* to participate. There was simply no way of ensuring that every supervisor or counselor who received an e-mail invitation had provided supervision for licensure to at least one person in the last ten years. The presence of a name on a list of individuals who are identified by their state or who have identified themselves as supervisors does not imply that the individual has actually had the opportunity to provide supervision. Similarly, being a counselor who is eligible to provide supervision does mean that one has actually had the opportunity to do so. It is quite possible, then, that the majority of individuals who received e-mail invitations had not provided supervision to at least one counselor seeking licensure. This renders the reporting of response rates virtually meaningless.

Procedure

Participants in the sample whose e-mail addresses were known to the investigator received a personalized e-mail from the investigator inviting them to participate in the study anonymously. Personalizing e-mail invitations using either a participant's first

name or full name has been correlated with increased response rates (Dillman et al., 2009; Heerwegh, 2005). The e-mail invitation was sent through QuestionPro's server, which sent an individual e-mail to each participant instead of a mass e-mail in which all participants could be visible in the "To" field. This particular method of sending e-mail invitations is important, as Barron & Yechiam (2002) found that individuals are less likely to respond to a request for help if it is obvious that others have been asked to help. The e-mail invitation included a link that took participants directly to the survey site where they viewed an informed consent document. Upon indicating their agreement with the terms of the informed consent, they proceeded to take the survey. The 640 supervisors identified through web sites received the invitation found in Appendix D. The 469 counselors whose e-mails were obtained through state licensure boards and counseling associations received the e-mail invitation found in Appendix G. A separate e-mail, found in Appendix J, was sent to the state board and state counseling associations that agreed to assist with this study for forwarding to their licensed counselors or supervisors. Subscribers to the CESNET listserv received the e-mail invitation found in Appendix K.

To increase the likelihood that participants who received the e-mail invitation would complete the survey, the investigator raffled off five gift certificates to Best Buy worth $20 apiece. Upon completing the survey, participants who wished to enter the raffle were directed to a separate site that collected their name, phone number and e-mail address. Once data collection was complete the names of all participants who entered the raffle were placed in a hat. Five winners were identified through a random drawing and sent the gift cards.

The survey remained open for approximately 60 days. The initial invitation to participate in the survey was sent to those individuals whose e-mail addresses were known to the researcher during the first week of December, 2009. A reminder e-mail was sent during the first full week of January, 2010, following the holiday season. A copy of the reminder e-mail to identified supervisors can be found in Appendix E. The reminder e-mail to identified counselors can be found in Appendix H. The cooperating state counseling boards and associations forwarded the invitation to participate to their members the week of January 4, 2010. A final appeal to identified supervisors (see Appendix F) and identified counselors (see Appendix I) was sent to participants on January 17, 2010, informing them of the closing date and encouraging them to respond. In accordance with the wishes of the cooperating state board and state counseling association, no reminder e-mails were forwarded to individuals who received the initial invitation forwarded by their state licensing board or counseling association. To boost participation in the study, an invitation to participate was posted to the CESNET listserv on January 22, 2010.

Data Analyses

Data for this survey were analyzed using both qualitative and quantitative methods.

Quantitative

Quantitative data obtained from completed surveys was downloaded to the Statistical Package for the Social Sciences (SPSS) Release 16. All descriptive statistics, including frequencies, means, and standard deviations, were calculated for each variable using this statistical package. In addition, the appropriate statistical analyses were

conducted for each research question. To control for Type I error, all analyses were conducted with .05 alpha level. Effect sizes were also calculated and reported using Cohen's (1992) criterion where $0.10 < d < .25$ = small effect size; $0.25 < d < 0.40$ = medium effect size; and $0.40 < d$ = large effect size.

Qualitative

Qualitative data were obtained from the completed surveys and downloaded into Microsoft Excel for content analysis. Using a constructivist lens that assumes reality is specific, local in nature, and alterable depending on the individuals or groups holding the constructions (Guba & Lincoln, 1994) I conducted a content analysis for emerging themes and categories within participant responses. To begin the analysis, I used the process of immersion (Marshall & Rossman, 2006) to become intimately acquainted with participant responses to the open-ended questions on the survey. I then began the content analysis, searching for similarities among responses and grouping them together as appropriate. From these groups of responses I developed codes describing the unifying theme within each group. These codes and themes are presented in Chapter Four.

Trustworthiness

Lincoln & Guba (1985) assert that, in order for a qualitative study to be trustworthy, it must address issues of credibility, transferability, dependability, and confirmability. In essence, a researcher must demonstrate that her or his findings have been subjected to the same degree of rigor, and are thus as reliable, as findings derived from the more traditional scientific methods. That is, a researcher must demonstrate that the findings have internal and external validity, can be generalized to a larger population, and are objective.

Credibility

Credibility, which is similar to internal validity, involves demonstrating that the research findings are adequately represented and credible to the people being studied (Lincoln & Guba, 1985). Lincoln and Guba strongly suggest that interpretations and conclusions be checked with participants in the study in order to ensure that their voices have been adequately represented. The anonymous nature of this study, however, rendered member checks impossible. Consequently, to establish credibility, I had a peer who is trained in qualitative methodology and is not involved in the study independently review the data and codes. The reviewer received the codes and their corresponding definitions and was asked to group the raw data using the codes. I report the rate of agreement between the peer reviewer and myself with respect to how the data were coded in Chapter Four.

Transferability

Transferability refers to the degree to which the findings of a study can be generalized to a larger population in a similar situation (Lincoln & Guba, 1985; Marshall & Rossman, 2006). Lincoln and Guba posit that the contextual nature of qualitative inquiry makes generalization impossible. However, they argue that thick descriptions of findings allow interested parties to consider whether they can be transferred to other contexts. To that end, I provide thick descriptions of all codes derived from participants' open-ended responses to assist interested parties in determining how the findings may be applicable to their situation.

Dependability

Lincoln and Guba (1985) compare dependability to the construct of reliability in traditional scientific research. Reliability assumes that findings can be replicated. As Marshall and Rossman (2006) note, however, reliability becomes problematic in qualitative research as qualitative research assumes the world is ever-changing and therefore non-replicable. Although reliability cannot be assured, I maintained an audit trail that allowed for an independent auditor to review the data analysis and verify the appropriateness of the conclusions. The audit trail consisted of the IRB approval for this study, the dissertation proposal approval form for this study signed by all committee members, a copy of the raw qualitative data, my analytic journal explaining all coding decisions, definitions of all codes, copies of the coding completed by the independent reviewer, and a reflexive journal discussing my own thoughts and reactions as I coded analyzed the data.

Confirmability

Confirmability refers to the objectivity of a study (Lincoln & Guba, 1985). Essentially, a qualitative study has confirmability if another individual agrees with the findings. To establish confirmability for this study I had the results audited by an independent auditor.

Researcher as instrument

The primary purpose of this study was to collect information on the supervision practices and challenges faced by supervisors of post-matriculation, pre-licensed counselors. Although they are a historically neglected population in supervision research, these supervisors serve as the last line of defense that might prevent someone

who is ill-suited for the counseling profession from receiving a license to practice independently. Thus, an underlying purpose of the study was to give these supervisors an opportunity to voice their concerns and challenges. To ensure that their voices were heard clearly, and to promote credibility in the analysis, it was important that I acknowledge how my own experiences as a counselor and a budding supervisor colored the lens through which I viewed the data.

I conducted this study following ten years of experience as a counselor working in various settings. I had worked with a number of different colleagues over the years, observing varying degrees of competence and impairment. At times, I wondered how some of my colleagues obtained their license to practice independently as they seemed to lack basic counseling skills. My work experience led me to believe that supervisors do endorse people for licensure in spite of reservations about their suitability for the profession. As a professional counselor with an interest in promoting a high degree of professionalism in the field, I was disappointed, and even critical, when supervisors made such decisions. As a budding supervisor with some experience supervising counselors in training, however, I developed some empathy for the challenges supervisors face when trying to assess a supervisee's skills and determine their readiness for the next step in their training. It is difficult to confront a supervisee's skills deficits or personal characteristics that interfere with professional functioning. I found myself questioning my own judgment, wondering if I was being too critical or if there was simply a style difference between myself and my supervisee. These conflicting experiences sparked my interest in this line of research, endowing me with an innate curiosity about the topic as well as potential biases. I believe the careful construction of the survey, coupled with its

anonymous format, helped to guard against any potential influence I may have had on the data collection. I used an analytic journal, along with a peer reviewer and audit, to protect my biases from influencing the data analysis.

Following, I will reiterate each research question and how I analyzed related data.

Research Question 1

What methods of supervision do supervisors of post-matriculation, pre-licensed counselors engage in that promote gatekeeping?

Hypothesis 1

Supervisors of post-matriculation, pre-licensed counselors will report using self-report more than any other method of supervision.

Analysis 1. This question was analyzed through an examination of descriptive data including the frequency and mean amount of time supervisors report engaging in live supervision, review of video recordings, review of audio recordings, review of client satisfaction surveys, and review of supervisee paperwork. I also examined the number of supervisors who reported asking supervisees if they have ever received a remediation plan and the number of supervisors who contacted a supervisee's previous supervisors.

Research Question 2

Do supervisors of post-matriculation, pre-licensed counselor report refusing to endorse someone for licensure?

Hypothesis 2

Consistent with the literature on gatekeeping, supervisors will report refusing to endorse some individuals for licensure.

Analysis 2. This question was analyzed by examining the descriptive statistics on the number of supervisors in the sample who report refusing to endorse someone for licensure and comparing it to the overall number of individuals who received supervision from supervisors.

Research Question 3

What reasons do supervisors give for refusing to endorse someone for licensure?

Analysis 3. Supervisor responses to the open-ended question asking them to identify reasons they refused to endorse someone were analyzed via qualitative methods, as previously described. Responses were independently coded by the investigator. The resulting codes and their corresponding definitions, along with the initial responses from supervisors were given to an independent reviewer for recoding. After meeting with my independent reviewer, I determined the level of agreement in coding between myself and the reviewer. Codes and definitions were then compared to the existing literature on supervision and trainee impairment to assess similarities and differences.

Research Question 4

Do supervisors of post-matriculation, pre-licensed counselors endorse supervisees for licensure in spite of reservations about the supervisee's appropriateness for the profession or ability to practice independently?

Hypothesis 4

Consistent with the literature on gatekeeping during academic training, supervisors of post-matriculation, pre-licensed counselors will report endorsing supervisees for licensure in spite of reservations about the supervisee's appropriateness for the profession or ability to practice independently.

Analysis 4. This question was analyzed by examining the descriptive statistics on the number of supervisors in the sample who reported endorsing someone for licensure in spite of reservations and comparing it to the overall number of individuals who received supervision from supervisors.

Research Question 5

What reasons do supervisors give for endorsing someone for licensure about whom they have reservations?

Analysis 5. Supervisor responses to the open-ended question asking them to identify reasons for endorsing someone about whom they had reservations were analyzed via qualitative methods. Responses were independently coded by the investigator. The resulting codes and their corresponding definitions, along with the initial responses from supervisors were given to an independent reviewer for recoding. The level of agreement in coding between myself and the independent reviewer was determined. Codes and definitions were then compared to the existing literature on supervision and trainee impairment to assess similarities and differences.

Research Question 6

Is there a difference in the total number of hours of training in supervision between supervisors who have refused to endorse an individual for licensure and those who have never refused to endorse someone for licensure?

Hypothesis 6

There will be no difference in the total number of hours of training in supervision between supervisors who have refused to endorse someone for licensure and those who have never refused to endorse someone for licensure.

Analysis 6. Supervisors were placed into one of two categories: "no" (Group 1) and "yes" (Group 2). The data regarding number of hours of training in supervision were then rank-ordered within each category. I performed a Mann-Whitney U test in SPSS to test the null hypothesis that there is no tendency for the ranks of supervisors who had refused to endorse someone for licensure to be significantly higher than the ranks of those who had not refused to endorse an individual for licensure.

Research Question 7

Is there a relationship between the amount of training a supervisor has received in supervision and the amount of time spent on practices that promote gatekeeping?

Hypothesis 7

There will be no relationship between the amount of training a supervisor has received in supervision and the amount of time spent on practices that promote gatekeeping.

Analysis 7. A series of correlations was performed using the number of hours of training a supervisor has received as the independent variable. This variable was correlated with each of the following dependent variables: number of hours spent in live supervision, number of hours spent reviewing video recordings, number of hours spent reviewing audio recordings, number of hours spent reviewing client satisfaction surveys, and number of hours spent reviewing paperwork.

Limitations of the Study

This study used a convenience sample of supervisors and counselors with identifiable e-mail addresses. This limits the extent to which the results can be generalized to the population of supervisors and counselors without identifiable e-mail

addresses. In addition, the survey could not control for response bias. Because this survey relied on self report, it is also possible that respondents provided misleading information in an effort to present their supervision practices in the best possible light. Lacking data from supervisees, it was impossible to verify whether or not the results are an accurate representation of actual supervisor practices.

Conclusion

In this chapter I presented the research questions and their corresponding hypotheses. I discussed the quantitative and qualitative methods that I will use to analyze the data, providing a specific method of analysis for each research question. I then noted limitations of the study that affected its generalizability. In Chapter Four I discuss the results obtained.

CHAPTER 4

RESULTS

The purpose of this study was to explore the extent to which supervisors of post-matriculation, pre-licensed counselors engage in gatekeeping. Specifically, the researcher sought to assess: (a) what methods supervisors of post-matriculation, pre-licensed counselors use that promote gatekeeping; (b) whether training in supervision increases the likelihood that supervisors engage in gatekeeping; (c) if supervisors endorse individuals for licensure about whom they have reservations; and, (d) what barriers supervisors of post-matriculation, pre-licensed counselors report to engaging in gatekeeping at the licensure level. Participants in the study completed an internet-based survey that collected demographic information and then asked a series of questions about their use of several different methods of supervision that contribute to gatekeeping. Additionally, participants responded to two open-ended questions regarding refusal to endorse someone for licensure and endorsing someone for licensure in spite of reservations about the individual's level of skill or suitability for the profession.

Sample

A personalized e-mail invitation to participate in the survey was sent to 1,315 individuals who had been identified through various websites as practicing counselors or supervisors. Two hundred seventy-five of the e-mails bounced back, meaning the invitation did not reach the intended recipient. Eighty-three individuals e-mailed the investigator to say they did not meet study criteria. Nine individuals requested removal

from the sample without giving a reason. An additional 6 individuals asked to be removed from the sample for reasons such as lack of time to complete the study, illness, or technical difficulties. The bounces and requests to be removed reduced this portion of the sample to 942 individuals.

The initial invitation to take the survey was sent on December 3, 2009. A reminder e-mail was sent after the holiday season on January 4, 2010. A final reminder was sent on January 17, 2010. The cooperating state counseling associations and licensing boards forwarded a generic e-mail invitation to their members the week of January 5, 2010. An invitation to members of the CESNET listserv was sent on January 22, 2010 with the hope of boosting the number of participants in the study. Data collection ended on January 31, 2010.

The survey was viewed a total of 532 times and 390 individuals started it. A total of 113 individuals dropped out of the survey after starting it. Of that number, 50 were automatically terminated from the survey because they responded "no" to the qualifying question of "Have you provided supervision to at least one individual who had already completed his/her academic training and was pursuing licensure as a counselor in the last 10 years?" The remaining 63 individuals dropped out of the survey at various points as detailed in Table 1.

Two hundred seventy-seven completed surveys were registered by QuestionPro. An additional three completed surveys were mailed to the investigator by individuals who had difficulty viewing the survey on-line and opted to complete a hard copy. In all, a total of 280 completed surveys were received. One case was removed because the respondent provided demographic information and indicated never refusing to endorse

anyone or providing endorsement despite reservations, but did not answer questions about how much time he or she spent engaged in various methods of supervision and stated he or she was not licensed. Thus, the final number of useable surveys received for this study was 279. As stated in Chapter Three, it is impossible to know what the actual response rate for the survey was, as not every individual who received an invitation to participate in the survey was eligible to take it.

Table 1

Dropout Analysis

Point of Dropout	N	Percentage
Introduction	8	12.7
Instructions	9	14.3
Qualifying Question	16	25.4
Question #10: Please estimate the total number of hours of training you have in supervision. . .	21	33.3
Question #20: When beginning supervision with a new supervisee do you request evaluations. . .	7	11.1
Question #21a: Please explain the factors that influenced your decision to refuse to endorse. . .	2	3.2

The survey did contain some missing data, though in most analyses the missing data accounted for less than 5% of the total number of cases. A Little's test was performed to test the pattern of missingness in the data and found that the data were missing

completely at random ($\chi^2 = 66.29$, $df = 70$, $p = .604$). This finding indicated that listwise deletion could be used without producing biased parameter estimates (Schafer, 1997). As such, listwise deletion was used to handle the missing data. In this chapter, I present the results of the descriptive and quantitative analyses. After addressing demographic data, results are organized according to the research questions.

Participant Demographics

Completed surveys were received from individuals in 38 different states or territories of the United States or Canada. When grouped by regions defined by the American Counseling Association, 44 respondents (15.7%) were from the Midwest region, 36 (12.9%) were from the North Atlantic region, 113 (40.5%) were from the Southern region, and 46 (16.5%) were from the Western region. Thirty-eight responses (13.6%) were received from respondents whose state was unknown. Two respondents (0.7%) were from Ontario. Women ($n = 196$) comprise 70% of the sample while men ($n = 83$) make up the other 30%. Participants identified themselves as Caucasian (90%, $n = 251$), Black/African American (4.3%, $n = 12$), Hispanic/Latina/Latino (1.1%, $n = 3$), American Indian or Alaska Native (.7%, $n = 2$), Asian/Pacific Islander (.7%, $n = 2$), Biracial/Multiracial (.4%, $n = 1$), Middle Eastern (.4%, $n = 1$), and "Other" (2.5%, $n = 7$). The mean age of participants in the sample was 53.8 years ($SD = 10.2$; range: 28-78). Participants in the sample had been licensed for an average of 14.2 years ($SD = 6.4$; range: 1-30) and had been providing supervision for licensure for an average of 8.3 years ($SD = 5.7$; range: 1-30). As shown in Table 2, the majority (65.6%) of the 277 participants who provided an answer to the question held a master's degree.

Table 2

Highest Degree Obtained by Participants

Degree	*n*	Percent
M.Ed., MA, or MS in Counseling, Psychology, etc.	173	62.0
MSW	10	3.6
Ed.S. in Counseling/Counselor Ed	12	4.3
Ed.D. in Counseling/Counselor Ed	19	6.8
Ph.D. in Counseling/Counselor Ed	40	14.3
Ph.D. in Counseling Psych	5	1.8
Ph.D. in Clinical Psych	2	.7
Psy.D.	1	.4
Other	15	5.4
Total	277	99.3

Participants in the study held various types of professional licenses, with several holding more than one. All 279 participants in the sample held a counseling license as either a licensed professional counselor (LPC; n = 195, 69.9%), a licensed professional clinical counselor/licensed clinical professional counselor (LPCC/LCPC; n = 48, 17.2%), or a licensed mental health counselor/licensed clinical mental health counselor (LMHC/LCMHC; n = 36, 12.9%). Seventeen respondents (6.1%) held a license in social work, and 37 respondents (13.3%) held a license as a marriage and family therapist. Finally, 13 respondents (4.7%) were licensed psychologists.

Participants reported having an average of 65.75 hours of training in supervision (*SD* = 94.3; range: = 0-800). I present the mean and median number of hours of training for supervisors in the sample by degree in Table 3. As shown in the table, the median number of hours of training for all supervisors in this sample is 45, indicating a strong right-skew. Thus, a one-sample Kolmolgorov-Smirnov test was performed to test the assumption of normality. The results (Z = 3.989, *p* = .000) confirmed a non-normal distribution and the need to use non-parametric procedures to analyze research questions related to hours of training.

Table 3

Participants' Total Number of Hours of Training in Supervision by Degree

Degree	Mean	Median
M.Ed., MA, or MS in Counseling, Psychology, etc.	61.26	35.0
MSW	75.9	45.0
Ed.S. in Counseling/Counselor Ed	77.1	61.0
Ed.D. in Counseling/Counselor Ed	64.1	57.5
Ph.D. in Counseling/Counselor Ed	79.6	60.0
Ph.D. in Counseling Psych	37.8	40.0
Ph.D. in Clinical Psych	40.50	40.50
Psy.D.	1	.4
Other	87.6	45.0
Overall	65.75	45.0

Participants had provided supervision for licensure to an average of 9 individuals (*SD* = 25.7, range: 0-350). Here again, the data were strongly right-skewed with a median of 4.0. Results of a one-sample Kolmolgorov-Smirnoff test confirmed non-normality (Z = 6.08, *p* = .000). As a whole, respondents had provided supervision for licensure as a counselor to a total of 2,564 individuals.

Research Questions: Results

Research Question 1

What methods of supervision do supervisors of post-matriculation, pre-licensed counselors engage in that promote gatekeeping?

Participants were asked to enter the total number of hours they spent engaging in live observation, review of audio recordings, review of video recordings, listening to self-report and reviewing paperwork during the entire course of supervision with one supervisee. They were also asked to enter the number of times they reviewed the results of client satisfaction surveys. Descriptive statistics were calculated for each method and presented in Table 4. Because the data are strongly skewed, the median is reported to represent the best measure of central tendency.

Kolmogorov-Smirnov analyses were conducted for each method of supervision in order to test the assumption of normality. Results confirmed a non-normal distribution for live observation (Z = 5.577, *p* = .000), review of video recordings (Z = 7.354, *p* = .000), review of audio recordings (Z = 5.507, *p* = .000), self-report (Z = 6.379, *p* = .000), review of paperwork (Z = 6.165, *p* = .000), and review of surveys (Z = 6.082, *p* = .000).

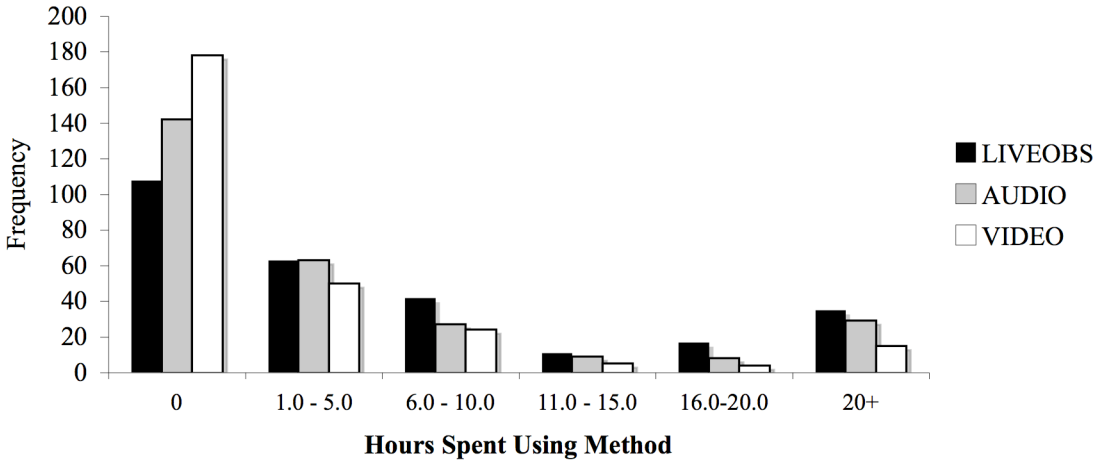
Table 4

Time Spent on Various Methods of Supervision

Method	*n*	Mean	Median	Mode	SD	95% CI
LiveObs	276	12.1	3.0	0	28.6	8.8 – 15.8
Video	276	10.3	0	0	71.5	1.5 – 18.9
Audio	278	7.9	0	0	17.9	5.3 – 9.6
Self-Report	267	82.3	54.0	50.0	100.2	70.3 – 94.3
Paperwork	265	34.8	20	10	64.6	27.0 – 42.6
Surveys	269	4.3	0	0	10.0	3.2 – 5.7

Figure 1 groups supervisors by the number of hours spent using the more objective methods of supervision: live observation, review of audio recordings, and review of video recordings. In each case, the vast majority of supervisors reported spending no time in supervision using any of the objective methods. A subset of supervisors in the sample reported spending 1 – 10 hours engaged in one of the more objective methods of supervision indicating, perhaps, that these supervisors obtain a baseline sample of a supervisee's skills in session and then rely on self-report for the bulk of supervision.

Figure 1. Use of Methods of Supervision



In addition to the amount of time spent on various methods of supervision, participants were asked to indicate whether or not they contact a supervisee's previous academic and clinical supervisors when beginning supervision, if they create a supervision contract with each supervisee, and if they ask supervisees about any remediation plans they may have been required to complete during academic training. Descriptive data for these questions can be found in Table 5.

Finally, supervisors were asked to indicate how often they keep notes of the supervision sessions. Two hundred fourteen supervisors (76.7%) reported keeping supervision notes for each supervisory session. Five supervisors (1.8%) reported keeping notes for every other supervision session. A total of 18 supervisors (6.5%) stated they did not keep any supervision notes, while 42 (15.1%) reported keeping notes only when it was important for the continuity of services.

Table 5

Frequency of Use of Supervision Contracts, Asking About Remediation Plans, and Checking References among Supervisors Providing Supervision for Licensure

When beginning supervision with a new supervisee, do you…	Yes		No	
	n	Percent	*n*	Percent
Create a written supervision contract	204	73.1	71	25.4
Ask if the supervisee was ever required to complete a remediation plan	52	18.6	223	79.9
Contact the supervisee's previous academic or clinical supervisors	112	40.1	165	59.1

Overall results

Supervisors spent more time listening to a supervisee's self-report of what transpires in counseling session with clients than in using any other method of supervision that might allow them to obtain more objective information about what actually transpires in a supervisee's sessions with clients. Using the median as the measure of center for the data, the supervisors in this sample did not spend any time engaging in live observation or reviewing video or audio recordings of their supervisees providing counseling services. The median number of hours supervisors spent reviewing paperwork produced by a supervisee was 20, making it the second-most commonly used method of supervision. The majority of supervisors (73.1%) reported creating written supervision contracts with their supervisees. However, less than half (40%) reported contacting a supervisee's previous academic or clinical supervisors and only 18% asked

their supervisees if they had ever been required to complete a remediation plan during their academic training. Most supervisors (76.7%) reported keeping supervision notes for every supervision session, though 15.1% kept notes only when they felt it was important and 6.5% kept no supervision notes at all.

Research Question 2

Do supervisors of post-matriculation, pre-licensed counselor report refusing to endorse someone for licensure?

Participants were asked to report the total number of supervisees they had refused to endorse for licensure. A total of 272 participants entered data for this question. Table 6 provides the frequencies and valid percentage of respondents for data provided by participants.

Table 6

Frequency Table for Number of Individuals Supervisors Refused to Endorse for Licensure

Number of Refusals	Frequency	Valid %
0	194	71.3
1	54	19.4
2	18	6.6
3	4	1.4
4	1	.4
5	1	.4
Total	272	100.0

Overall results

As reported in the demographic section, participants in the sample reported supervising a total of 2564 individuals for licensure as a counselor. The majority of supervisors (71.3%) reported they had never refused endorsement for licensure to any of their supervisees. A total of 54 supervisors (19.4%) reported refusing endorsement for licensure to one individual while 18 (6.6%) had refused to endorse two individuals. Four supervisors (1.4%) refused endorsement to three individuals. One supervisor (.4%) reported refusing endorsement to four individuals while one other supervisor (.4%) reported refusing to endorse five individuals. In all, supervisors reported refusing endorsement for licensure to a total of 111 individuals representing 4.3% of the total number of people supervisors reported supervising.

Research Question 3

What reasons do supervisors give for refusing to endorse someone for licensure?

Participants were asked to explain what factors influenced their decision to refuse to provide endorsement for licensure. This item asked only those who had actually refused to provide endorsement for licensure to answer the question but it could be viewed by all respondents. In reviewing the results, it is clear that several participants chose to enter text into the text box provided for the question even though they had indicated that they had never refused to endorse anyone for licensure. A total of 93 individual responses were received. These responses yielded 151 data stems. The data stems were reviewed by the researcher who used a constructivist lens to perform an inductive analysis to identify emerging themes and trends. Initially, 23 themes emerged from the data and captured all 151 data stems. Themes and their definitions, along with

the 151 data stems stripped of the codes assigned by the researcher were forwarded to an independent reviewer for recoding. The researcher and independent reviewer coded 138 of the 151 data stems in the same fashion, yielding an agreement rate of 91%. Several themes were then combined to create supraordinate or primary themes and subordinate categories. In the end, the process resulted in 10 primary themes and 4 subordinate themes. In addition, there were a number of responses that were non-applicable as they did not directly answer the question posed. Results are presented below, beginning with the theme capturing the largest amount of data.

Ethical concerns

The primary reason supervisors gave for refusing to endorse someone for licensure was unethical behavior on the part of the supervisee. Thirty-one data stems were captured by this theme, representing 20.5% of all data items. At the supraordinate level this theme was characterized by general statements such as "inability/unwillingness to practice ethically," "I had doubts about their ethical practices," "problems with ethical violations," or simply "ethical issues." In some instances, supervisors were more specific, stating "was not ethical in dealing with client records and reporting to me," "I questioned the supervisee's ethical principle regarding malfeasance, which was affirmed through consultation/supervision via video recording," "taking money from an agency client for personal use," or "The supervisee was not able to maintain reasonable confidentiality within the expectations of our community."

Boundary concerns. Concerns about a supervisee's ability to understand or maintain appropriate boundaries with clients emerged as a subordinate theme within the supraordinate theme of ethical concerns. Seven data stems specifically cited boundary

concerns as a reason for refusing endorsement for licensure to supervisee. Supervisors typically stated "poor boundaries," or "supervisee had significant problems with boundaries," when asked to explain the factors that influenced their decision to refuse to endorse a supervisee for licensure. Five of the seven data stems did not explain what the respondent was referring to when citing poor boundaries." One stem stated "This person disclosed inappropriate contact with a client before requested a reference for licensure from me," and another reported "unethical behavior (becoming romantically involved with a client)." This subordinate theme represents 22.6% of the 31 data stems captured by the ethical concerns theme.

Dishonesty. Five data stems representing 16.1% of the items in the ethical concerns theme specifically cited a supervisee's dishonest reports or actions as a reason for withholding endorsement for licensure. Respondents reported "dishonest reporting of use of work time," "dishonesty," "lying to an employer," and "misrepresented facts on the workplace." One supervisor chose to be more specific, stating "the supervisee was repeatedly dishonest about minor things and minimized the standard of integrity I felt was important to be truly effective with clients." Thus, dishonesty is a subordinate theme within the ethical concerns theme.

Impairment

Another prominent factor that influenced supervisors' decisions to withhold endorsement for licensure was the presence of impairment in the supervisee characterized by emotional or mental health problems, interpersonal problems, poor judgment, or troubling personal characteristics. Supervisors entered text such as "emotional instability," "psychologically unstable," "supervisee's personal instability," and

"emotional immaturity, unresolved and untreated personal issues" when asked to explain why they had refused to endorse someone for licensure. Others cited "difficulty with judgment issues" or "poor interpersonal relationships" as reasons for withholding endorsement. In addition, the inability to separate personal issues from client issues was an issue, with a few supervisors stating "supervisee was not able to separate own issues from those of clients regardless of input, supervision, and counseling interventions," or "the supervisee had issues staying focused on client rather than her own issues," or "she brought her personal issues into the counseling relationship and was unwilling to address in supervision." Other supervisors simply stated "impaired counselor" or "impaired functioning" when explaining their reason for refusing to endorse an individual. As a whole, this theme accounted for 28 data stems representing 18.5% of the data.

Troubling personal characteristics. Troubling personal characteristics emerged as a specific impairment that prevented some supervisors from providing endorsement for licensure. The six data stems comprising this subordinate theme are "distractibility," "lack of insight," "unsure of self," "afraid of clients," "impulsivity," and "lack of attention to detail." Each item represented a personal quality that interfered in some way with professional functioning. Thus, the individual characteristics were grouped into this subordinate theme that represents 21.4% of the items within the impairment theme.

Lack of professionalism. Another reason participants gave for refusing to endorse someone for licensure was the belief that the supervisee lacked professionalism. Lack of professionalism was mentioned in four different data stems through either the statement "lack of professionalism" or "unprofessional behaviors/attitude." None of the stems provided any explicit examples of what the supervisors regarded as a lack of

professionalism or unprofessional behavior. A lack of professionalism implies impairment of some kind and it was mentioned often enough to qualify as a subordinate theme within impairment. As a whole, this subordinate theme represents 14.2% of all data stems within the supraordinate impairment theme.

Skill deficits

Deficient clinical skills tied with impairment as the second-most cited reason for refusing endorsement for licensure to a supervisee. Twenty-four data stems comprising 15.9% of all supervisor responses fell into this theme. Several stems simply stated "poor clinical skills," "lack of critical clinical skills," or "poor counseling skills." Others cited the specific area in which the supervisee was deficient, citing "inability to deal effectively with transference or countertransference issues," "inability to determine appropriate intervention strategies," "inability to assess risk and take appropriate action," and "inability to articulate therapeutic interventions, process for deciding which interventions to apply." One supervisor provided slightly more depth to her or his response, reporting "counselors were also not seemingly able to understand the benefit of not giving advice to clients, but rather leading them in the direction that would allow for them to discover the answers on their own." Similarly, another stated "counselors were not willing to listen to client needs and provide meaningful and structure feedback in a way that assisted the client to identify, understand and move beyond their issues." Finally, two participants noted a supervisee's difficulty completing paperwork, stating "supervisee did not complete required paperwork" and "inability to complete paperwork." Regardless of the particular skill in question, supervisors demonstrated a concern that their supervisees

possess a certain level of basic clinical skills and a willingness to withhold endorsement if they felt that level had not been reached.

Commitment and motivation concerns

Concerns regarding a supervisee's lack of participation in supervision, overall commitment to the supervision process and the profession, or lack of motivation accounted for 7.3% of the data stems (n = 11) culled from participant responses to factors that influenced their decision to withhold endorsement for licensure from a supervisee. Four of the stems specifically mentioned a supervisee's failure to attend scheduled supervision sessions, stating "not attending required face to face supervision meetings," "Supervisee did not keep scheduled meetings," "Supervisee missed appointments," or "non-compliance with supervision schedules." Closely related to these concerns were two items expressing concern for the supervisee's commitment to the profession. In these instances respondents stated "Lack of focus and clarity on having a counseling career. Worked on this during supervision. Supervisee ultimately opted not to apply for licensure," and "Lack of focus on personal direction. (Supervisee eventually decided to become an artist!)." Meanwhile, three data stems noted the supervisee's lack of commitment to the overall supervision process. Supervisors stated "Lack of follow through and commitment to supervision," "Lack of full participation in the supervision process," and "not being serious about supervision." Finally, two data stems spoke of a supervisee's lack of motivation demonstrated in supervision or work. One supervisor simply stated "lack of motivation and work ethic" as a factor that influenced her/his refusal to endorse a supervisee for licensure without elaborating. The other provided a little more explanation, stating "he also took little to no initiative during his internship –

he had to be told what to do on a daily basis. . . no insight into what needed to be done and no initiative to take on other projects. He was definitely not a leader."

Non-compliance

Nine data stems, representing 6.0% of all items, are described by noncompliance with regulations or expectations set by a supervisor or by licensing bodies. When asked to discuss the factors that influenced their decision to refuse to endorse someone for licensure participants stated "inability to follow supervisor's directives," "refusal to complete required assignments," "refusal to complete a supervision plan," or "the supervisee did not comply with remediation agreements." While the majority of items in this theme reflected a lack of compliance with supervisor expectations, two items referred to non-compliance with professional standards. One supervisor in this instance reported "non-compliance with state requirements" while another stated "supervisee did not maintain liability insurance."

Difficulty learning from supervision

The unwillingness or inability to learn from supervision was also cited as a reason for refusing to endorse a supervisee for licensure. Comments from supervisors that are captured by this theme are "unable or unwilling to respond to supervision," "inability to progress under supervision," "The supervisee seemed unable to learn from out work. We ended supervision before the supervisee's hours were completed," and "Main reason was watching the supervisee with clients, attempting to redirect incorrect behaviors, and seeing no changes in correcting the behaviors." A total of four data stems fall into this theme, comprising 2.6% of all supervisor responses.

Conflict

Supervisors cited conflict with a supervisee as another factor influencing their decision to withhold endorsement for licensure. They stated "Personality clash; philosophical conflicts. We didn't like each other," and "I have on two occasions chosen to discontinue my supervision with individuals because of attitudes toward our work together and toward their work as a therapist," and "This supervisee expected me to be a business consultant in addition to being a supervisor. He was disrespectful to me when I refused, so I suggested he find a different supervisor with values that more closely matched his own." Three data stems were classified by this them, comprising 2.0% of the total data.

Lack of experience

Two data stems comprising 1.3% of all responses share the notion that the supervisor did not believe the supervisee had gained enough experience as a counselor to merit endorsement for licensure. These data stems are "did not believe the candidate had obtained enough post-graduate experience" and "not enough experience to be licensed in my opinion."

Power issues

Two data stems, comprising 1.3% of the total, referred to difficulties a supervisee was having negotiating issues of power in counseling that concerned supervisors enough to refrain from endorsing the individual. When explaining the factors that led to a refusal to endorse an individual, one supervisor stated "one related to issues of power in the counseling relationship of which the supervisee was unwilling to look at his role over a period of time with more than one client." Another supervisor, referring to a different

supervisee, commented that she/he was "unable to trust supervisee due to her attempts at engagement in power struggles with supervisor and with peers, creating distrust of what she might do with vulnerable clients." Hence, the inability to understand and manage issues of power in relationship was yet another reason supervisors refused to provide endorsement for licensure.

Other

Three data items representing 2.0% of all data stems were placed in the "Other" theme because they appeared only once and did not have anything in common with the themes already created. One data stem indicated that a supervisor withheld endorsement because of lack of information. The supervisor stated "I simply could not get a clear picture as to how the individual was performing from the information I could gather from the supervisee." A "lack of apparent understanding of the role of a counselor" was cited by one respondent as a reason for withholding endorsement for licensure to a supervisee. Finally, concerns regarding biases or prejudices were expressed by one participant in the study who, when asked to explain why he or she had refused to endorse someone for licensure, stated "The supervisee needed to work on some clear issues with sexuality and bias. He exhibited negative comments on more than one occasion against GLBT populations and exhibited a level of insensitivity for a counselor."

Non-applicable responses

A total of 21 data stems, representing 13.9% of the total, did not answer the question asked or were too ambiguous to be coded reliably. The relatively large number of stems in this category reflects, in part, the fact that individuals who had never refused to endorse anyone for licensure were still presented with an opportunity to discuss factors

that influenced a decision to withhold endorsement. Several respondents chose to use the space provided for the question to emphasize how pre-screening potential supervisees prevents the need to refuse endorsement. They stated "I am very careful who I accept to supervise for licensure," "I don't take on supervisees I don't think I can positively influence toward professional and ethical behavior," "I prescreen all potential supervisees prior to any supervision," "Never had a need to not endorse. Pre-selection of supervisee's is crucial" and "One reason is that if I find a supervisee that is questionable, I will explain my concerns, if change does not occur, I discontinue supervision. Also, I screen them prior to accepting them as supervisees." Others seemed to be using the space to explain why they refused to take on someone for supervision in the first place, stating "Not enough time," or "lack of experience, time commitment/availability, working with an agency or population I was not familiar with." Thus, this theme captures comments from supervisors regarding that do not directly answer the question at hand.

Overall results

Ten distinct factors that influenced a supervisor's decision to refuse to endorse an individual for licensure emerged from the data provided by supervisors. Problems adhering to ethical standards were most commonly cited as a reason for withholding endorsement. Supervisee impairment and supervisee skill deficits were the next most cited reasons cited by participants for refusing to endorse someone. Noncompliance with supervisor recommendations and commitment or motivation concerns round out the top five factors that influenced supervisors' decision to withhold endorsement. These five factors account for nearly 65.6% of all data items that emerged from supervisor

responses. When the 21 items that fell into the NA theme are removed from the total number of data stems, these top five factors represent 76.2% of all data stems.

Research Question 4

Do supervisors of post-matriculation, pre-licensed counselors endorse supervisees for licensure in spite of reservations about the supervisee's appropriateness for the profession or ability to practice independently?

Participants were asked to report the total number of supervisees they had refused to endorse for licensure. In all, 269 participants entered data for this question. Table 7 provides the frequencies and valid percentage of respondents for data provided by participants.

Table 7

Frequency Table for Number of Individuals Supervisors Endorsed in Spite of Reservations About the Supervisee's Appropriateness for the Profession or Ability to Practice Independently

Number Endorsed in Spite of Reservations	Frequency	Valid %
0	222	82.5
1	32	11.9
2	8	3.0
3	4	1.5
4	1	.4
5	2	.7
Total	269	100.0

Overall results

The vast majority of supervisors in the sample (n = 222; 82.2%) reported that they had never endorsed someone for licensure in spite of reservations about the individual's level of skill or suitability for the profession. Thirty-two participants (11.9%) reported endorsing one individual for licensure in spite of reservations. Eight participants (3.0%) endorsed two individuals for licensure in spite of reservations. Seven participants (3.0%) reported endorsing three or more individuals for licensure in spite of reservations. In all, participants in the sample reported endorsing 74 individuals for licensure in spite of reservations about their level of skill or suitability for the profession. This number represents 2.8% of the 2564 total individuals to whom participants reported providing supervision.

Research Question 5

What reasons do supervisors give for endorsing someone for licensure about whom they have reservations?

Open-ended responses from participants yielded 64 data stems that were coded by the researcher and then sent to an independent reviewer for re-coding. The researcher and independent peer reviewer coded 61 of the 64 items in the same manner, yielding an inter-rater agreement rate of 95%. A total of eight themes emerged from the data stems and are described below in descending order of frequency.

Belief in overall competence

Fourteen data stems, comprising 21.9% of all responses, reflected supervisors' opinion that regardless of whatever concerns were present the supervisee had demonstrated a level of clinical competence that merited endorsement. Supervisors

reported statements such as: “Overall, was competent and professional,” or “They were competent enough; they were intellectually excellent,” or “My reservations were in limited areas. Overall skills of the supervisee were good.” They also stated “I had reservations but determined that the concerns were not sufficient enough to not endorse” and “None of the concerns rose to a level that compelled me to refuse endorsement.” Two respondents noted their specific concerns but also noted that the supervisee(s) demonstrated competence as a counselor. These respondents stated “Candidate was supercompetent, academically successful, but difficult to reach emotionally. Worried about how this translated with clients,” and “Both women seemed to have the necessary skills, although one was ‘green’ with too many codependency issues, but was going to al-anon, and the other one was bi-polar, which would make her not capable at times.” A lack of evidence to support their concerns in the face of overall competence was also a factor. One supervisor stated, “Not sure I had all the information I needed and my reservations about recommending them was not due to any acts or omissions of an egregious nature.” Another reported that “The reservations were about personal issues the counselor had that did not or had not at least yet directly impacted the person’s ability to provide counseling services.” The supervisee’s overall level of competence, then, was the primary reason supervisors gave for endorsing someone for licensure given in spite of their reservations.

Belief in supervisee’s ability to grow

The belief that concerns would diminish as a supervisee continued to grow and gain more experience in the field was another reason supervisors gave for endorsing someone in spite of their reservations. Seven data stems representing 11% of the

responses to the question fell within this theme. Supervisors presented statements such as: "I came to the conclusion the supervisee would become more confident and proficient in her skills"; "Their patterns of growth indicated likely continued growth (within a relatively short time) to the needed level of skills, and motivation to continue such growth was overwhelmingly evident"; "My concerns were very likely to be resolved with additional experience and maturity on the part of the counselor"; and, "Skills are developed through time and I have learned most counselors need many years to come to the level they expect." Hence, belief in the supervisee's ability to grow as professional led participants to feel justified in providing endorsement for licensure in spite of any reservations they had about the supervisee's level of skill or suitability for the profession.

Belief that concerns had been addressed

The third most frequently cited reason supervisors gave for providing endorsement for licensure in spite of their reservations was the belief that their concerns had been addressed. Supervisors whose responses were placed within this theme made it clear that while they had concerns, they had discussed them with the supervisee(s) in question and believed that the concerns had been sufficiently resolved or were being sufficiently addressed to warrant endorsement for licensure. For example, one supervisor stated:

> My reservations were not about her ability to be an effective counselor per se, but rather about her strength in recognizing that there are some areas where she should choose not to provide counseling. We addressed those areas such that I felt I could endorse her.

A second supervisor, referring to supervisees that he/she had endorsed in spite of reservations reported "Another individual was struggling with personal issues that got in the way of her counseling techniques; however, she entered therapy and I had good

reason to believe she would resolve her issues." Similarly, another participant remarked "Individual had spent many hours in ongoing personal therapy and was aware of her limitations and we had discussions of her own counter transference issues. So I endorsed her work." Thus, data stems in this theme reflected supervisors' confidence that their concerns had been understood by the supervisee and addressed through both supervision and the supervisee's own efforts. A total of five data stems were captured by this theme, representing 8% of all responses.

Outcome of consultation

Consultation with colleagues also played a role in supervisors' decisions to endorse individuals about whom they had reservations. Supervisors stated they provided endorsement after "consultation with Director," or "consultation with colleagues and faculty in order to gain more information about the individual" or "review with on-site supervisor differed with my opinion. On-site supervisor was impressed and satisfied with her clinical skills." Four data stems fell in this theme accounting for 6% of the responses to the question of why supervisors endorsed someone in spite of reservations about the individual's level of skill or suitability for the profession.

Style/Interpersonal differences

An additional reason given by participants for endorsing someone for licensure in spite of reservations about their level of skill or suitability for the profession was the belief that their concerns were more the result of style or personality differences between themselves and the supervisee than any lack of skill. Supervisors stated "I felt it was more personal conflicts than professional performance. I just did not like them," or "Their style was very different than mine, but I felt they would help folks and in no way

cause harm," or simply "She seemed to do well with her clients but didn't get along with me." Four data stems were captured by this theme, accounting for 6% of all responses.

Supervisee commitment and determination

A sixth reason supervisors gave for endorsing someone in spite of reservations about their level of skill or suitability for the profession was recognition of the individual's commitment and determination to succeed despite lacking competency at the time of endorsement. Supervisors stated "the person had truly gone the distance with working part-time in an additional facility beyond regular job and kept taking the NCE until passing, the determination reflected the willingness beyond lacking competence at the time of completion," and "They demonstrated commitment to the profession and had been practicing to enhance their competencies." Two data stems were captured by this theme, representing 3% of all responses.

Other

Supervisors gave two additional reasons for providing endorsement for licensure in spite of their reservations that were not captured well by any theme. One respondent noted that the supervisee about whom they had a concern was going to work in an environment that would offer continued support and direction and would not be going into private practice. The fact that the supervisee would be working in a supportive environment provided enough reassurance to this particular supervisor to enable him/her to endorse the individual for licensure. A second respondent, when asked to explain what led him/her to provide an endorsement for licensure in spite of concerns about the individual's level of skill or suitability for the profession, noted that the supervisee "had

an important family historical name." These two responses were placed in an "Other" theme representing 3.1% of the total responses.

Non-applicable responses

A total of 25 data stems failed to answer the question asked, did not provide enough information to be confidently coded, or seemed to describe what the concerns were that a supervisor had without explaining why the supervisor chose to provide endorsement. These stems comprise 39.1% of all responses provided by participants to the question. Data stems within this theme include responses such as "quality candidates" or "pre-selection" or "N/A." A few respondents noted that they do not take on questionable supervisees to begin with or that they discontinue supervision if questionable behaviors do not change, thus averting any need to wrestle with whether or not to provide endorsement for licensure to someone about whom they had reservations. In addition, supervisors noted the importance of making endorsement for licensure an on-going part of the conversation in supervision. They stated, "If the ongoing dialog betweens supervisor and supervisee is open and frank, problems are identified and addressed right away. Once someone reaches the 'end of supervision' with me, all reservations have been resolved. Otherwise, the failure is mine!!" and "Qualifications for licensure must be an ongoing part of discussion in supervision. If we get to the end of supervision and I still have reservations, then I have failed!"

Rather than stating why they endorsed someone in spite of reservations about their level of skill or suitability for the profession, several respondents stated what their concerns were about the individual they had endorsed. Thus, their responses would have been better placed under question 21a even though it appeared in the text box for

question 22a. Supervisors cited such things as "concerns about willingness to follow ethical code of conduct regarding dual relationships," "lack of experience regarding assessment and diagnosis abilities," "lack of insight and professionalism," and "I had reservations about this supervisee's theoretical-conceptual ability." These responses were considered irrelevant to the question at hand and thus placed in the non-applicable responses theme.

Overall results

When the non-applicable responses theme is removed, seven different themes representing 39 data stems remain to describe why supervisors chose to endorse an individual for licensure in spite of reservations about the individual's level of skill or suitability for the profession. The belief that a supervisee had demonstrated a sufficient level of competence to merit endorsement to practice independently was the primary reason supervisors gave for providing endorsement in spite of whatever they had. Similarly, the belief that a supervisee would continue to grow and mature also strongly influenced supervisors' decisions to endorse someone for licensure about whom they had concerns coming in second behind a belief in the supervisee's competency. The belief that concerns had been addressed ranked third on the list of reasons supervisors gave for endorsing someone in spite of reservations. Supervisors also explained their decision to endorse someone in spite of reservations by chalking up concerns to differences in style or personal qualities that may have impeded supervision but did not seem to affect an individual's counseling skills. Finally, consultation with colleagues influenced supervisors' decisions to provide endorsement for licensure to individuals about whom they had concerns. These five themes represent 87.2% of the applicable responses

participants gave when asked to explain what led them to endorse someone in spite of concerns about the individual's level of skill or suitability for the profession.

Research Question 6

Is there a difference in the total number of hours of training in supervision between supervisors who have refused to endorse an individual for licensure and those who have never refused to endorse someone for licensure?

A categorical variable, CATREF, was created to indicate whether a supervisor had refused to endorse an individual for licensure. Supervisors were placed into one of two categories: "no" (Group 1) and "yes" (Group 2). The data regarding number of hours of training in supervision were then rank-ordered within each category. A Mann-Whitney *U* test was performed in SPSS to test the null hypothesis that there is no tendency for the ranks of supervisors who had refused to endorse someone for licensure to be significantly higher than the ranks of those who had not refused to endorse an individual for licensure. Using the ranked hours of training in supervision the results indicated a significant difference between those who had refused to endorse someone for licensure and those who had not ($U = 5495.00$, $n_1 = 188$, $n_2 = 78$, $p = .001$). Due to the unequal sample size, the sum of ranks for those who had refused to endorse an individual for licensure ($\sum R_2 = 12250.00$) was less than the sum of ranks for those who had not refused to endorse an individual for licensure ($\sum R_1 = 23261.00$) Those who had refused to endorse an individual for licensure, however, had a median number of hours of training in supervision of 56.0 while those who had never refused to endorse someone for licensure had a median number of hours of training of 40.0. The results, then, indicate that the median number of hours of training in supervision is significantly higher for

supervisors who have refused to endorse at least one individual for licensure compared to those who have never refused to endorse someone. The effect size for this difference is .20, indicating a small effect size.

Research Question 7

Is there a relationship between the amount of training a supervisor has received in supervision and the amount of time spent on practices that promote gatekeeping?

Non-parametric correlations using Spearman's rho were calculated in SPSS to examine what relations, if any, existed between total hours of training and total hours spent engaging in live observation, total number of hours spent reviewing audio recording, total number of hours spent reviewing video recording, total number of hours spent listening to self-report, total number of hours spent reviewing paperwork, and total number of times spent reviewing client satisfaction surveys. Table 8 presents the correlation coefficients and associated p-values.

Overall results

A small positive correlation ($r_s = .127$, $p = .036$) was detected between the number of hours of training a supervisor has in supervision and the amount of time spent listening to audio recordings of a supervisee providing counseling services. Similarly, a small positive correlation ($r_s = .133$, $p = .029$) was detected between the number of hour of training in supervision and the amount of time spent reviewing video recordings of a supervisee providing services. In each case the effect size is small, indicating that the amount of time supervisors spend reviewing audio or video recordings is only slightly related to the amount of training they have in supervision. No significant correlation was found between total hours of training and time spent engaged in live observation,

listening to a supervisee's self-report, review of paperwork, or review of client satisfaction surveys.

Table 8

Correlation and p-values Between Hours of Training and Time Spent on Methods of Supervision

Number of Hours of Training and. . .	*n*	r_s	p-value
Live Observation	270	.045	.462
Audio	272	.127	.036
Video	270	.133	.029
Self-Report	263	.074	.230
Review of Paperwork	262	.032	.608
Review of surveys	264	.065	.295

No significant relationship was detected between the number of hours of training in supervision and the amount of time spent engaged in live observation (r_s = .045, p = .462), listening to self-report (r_s = .084, p = .175), reviewing paperwork (r_s = .042, p = .500), or reviewing the results of client satisfaction surveys (r_s = .065, p = .295). Taken as a whole, these results indicate that the amount of training a supervisor has in supervision has little to no bearing on how much time a supervisor spends engaged in any particular method of supervision.

Summary

In this chapter I have presented the data on the methods of supervision that promote gatekeeping used by responding supervisors. Demographic data were presented, followed by descriptive data outlining the extent to which supervisors reported engaging

in various methods of supervision. I then presented qualitative results describing participant responses to open-ended questions regarding their reasons for refusing to endorse someone for licensure and their reasons for endorsing someone about whom they had reservations. Non-parametric statistics were employed to examine the relationship between the amount of training a participant had in supervision and the refusal to endorse an individual for licensure. The data analysis concluded with an exploration of the relationship between the amount of training a supervisor had in supervision and the amount of time she or he spent on various methods of supervision. In the following chapter, I offer a discussion of these findings and their implications for the field. I also offer recommendations for further research.

CHAPTER 5

DISCUSSION

In this chapter I summarize the results of the study and discuss the implications for supervision at the licensure level. I conclude by acknowledging the limitations of the study and making recommendations for future research.

Summary of the Results of the Study

This study explored the extent to which supervisors of post-matriculation, pre-licensed counselors engage in gatekeeping. Participants in the survey were supervisors who had provided supervision for licensure to at least one individual in the last ten years. Invitations to participate in the survey were sent by e-mail to individuals who had identified themselves as supervisors on various lists posted on the internet. Additional invitations were sent by e-mail to counselors, identified through lists posted on the internet, who possessed a license to practice independently and thus may have had the opportunity to provide supervision for licensure in the course of their career. An invitation to participate in the survey was also posted to a listserv for counselor educators and supervisors. One state licensing board and one state counseling association also forwarded an invitation to participate in the survey to their members. Participants completed the survey on-line, responding to twenty-four items designed to collect information about themselves, their supervision training, their supervision practices, and their experiences in deciding whether or not to endorse an individual for licensure.

Using participant responses to the survey, I assessed what methods of supervision supervisors of post-matriculation, pre-licensed counselors use that promote gatekeeping, whether training in supervision increases the likelihood that supervisors engage in gatekeeping, if supervisors report endorsing individuals for licensure about whom they have reservations, and what factors supervisors of post-matriculation, pre-licensed counselors consider when determining whether or not to endorse an individual for licensure.

Methods of Supervision That Promote Gatekeeping

Objective Methods

The data collected in this study indicate that supervisors of post-matriculation, pre-licensed counselors spend very little time in supervision using objective methods that would contribute to gatekeeping. In the entire course of supervision with one supervisee, supervisors reported spending an average of 82.3 hours (*Mdn* = 54.0) listening to the supervisee's self-report of what transpires in sessions with clients. The overwhelming majority of states require a minimum of 100 hours of supervision during the course of a post-degree counseling residency with at least half of those hours coming from individual, face-to-face supervision (American Counseling Association, 2010). Thus, these results indicate that supervisors dedicate more than half – and in some cases perhaps all - of their time with a supervisee using a method considered to be the least reliable for assessing a supervisee's degree of skill and competence.

The fact that supervisors in this sample reported little use of the more objective methods of supervision is not particularly surprising. Each method requires equipment and technology that is not always available to either the supervisor or the supervisee. In

addition, there are logistical obstacles that must be overcome, confidentiality concerns that must be addressed and institutional or agency rules that impede the use of more objective methods. Even if these barriers can be surmounted, supervisors must dedicate time to reviewing tapes or engaging in live observation on top of the hour a week they spend providing face-to-face supervision. When a supervisor is in private practice, time spent reviewing tape is time that cannot be spent seeing clients and earning income. Unless a supervisor charges for listening to tape and the supervisee is able to pay for it, there is little incentive for the supervisor to ask for tape recordings of sessions. When a supervisor is providing supervision to staff in an agency as part of her or his duties in the agency there is often no time available outside of face-to-face supervision for the supervisor to review recordings or engage in live observation as other duties within the agency demand the supervisor's time. Thus, unless supervisors manage to negotiate an appropriate amount of time and compensation into their duties for reviewing recordings of sessions or engaging in live observation the odds that they will actually do so are slim.

Review of paperwork emerged as the second most commonly used method of supervision employed by supervisors in this sample. In the entire course of supervision with one supervisee, supervisors reported spending an average of 34.8 hours (median = 20) reviewing intakes, case notes, or other written documentation completed by a supervisee. Here again, this result is not surprising, as case notes, intakes, and treatment reports are fairly easy for a supervisor to access especially if the supervisee is an employee within a supervisor's agency. A supervisee's written work product can provide a supervisor with some insight into a supervisee's skills, particularly how well a supervisee is able to formulate cases, make appropriate diagnoses, and link treatment to

the diagnosis. However, reviewing paperwork does not give a supervisor insight into how well a supervisee communicates with clients, manages resistance, employs confrontation skills, or otherwise engages with clients. So, while review of paperwork does provide some objective information that could contribute to gatekeeping, it is not an acceptable substitute for live observation of sessions or review of video or audio recordings.

The majority of supervisors (n = 148) in this sample reported that they do not use client satisfaction surveys as a part of their supervision of post-matriculation, pre-licensed counselors. Supervisors who did use client satisfaction surveys (n = 121) reported reviewing them an average of 4.3 times (*Mdn* = 0) during the entire course of supervision with one supervisee. While not unexpected, this result points to the on-going need for the counseling field at large to incorporate outcome measures – specifically client feedback - into day to day practice. Client satisfaction surveys would provide supervisors with a crucial perspective about a supervisee's level of skill and suitability for the profession – the client's. Making client satisfaction surveys a routine part of termination procedures requires very little effort on the part of the supervisor or the supervisee and, in the absence of other methods of supervision besides self-report, provides the most objective information available about the supervisee's performance.

Bridging Academic Training and Supervision for Licensure

The paucity of objective information about a supervisee's skills collected by supervisors in this sample would be less concerning if the supervisors were making an effort to obtain information about the supervisee's history as a developing counselor during his or her academic training. However, less than half of the supervisors in this

sample (40.1%) reported requesting information from the supervisee's previous academic or clinical supervisors. Furthermore, 79.9% of respondents do not ask the supervisee if she or he was ever required to complete a remediation plan during the course of academic training. These results add to the information vacuum in which supervisors of post-matriculation, pre-licensed counselors work. The failure to obtain information from a supervisee's previous academic and clinical supervisors, coupled with the failure to ask about a history of remediation, allows supervisees to begin supervision for licensure with a clean slate. While this may work to the advantage of supervisees who were subject to remediation during academic training or who slipped through gatekeeping mechanisms despite a need for intervention, the information vacuum actually places both supervisors and supervisees at a disadvantage. Supervisors are unaware of any problems a supervisee might have had during academic training and they do not know what strengths and limitations supervisee's possessed at the end of their academic training. Although these may become apparent to the supervisor as supervision progresses, the supervisor may be surprised when particular limitations present themselves that require intervention or remediation. The supervisor is forced to react, rather than to act preventatively and developmentally from the outset of supervision. Similarly, supervisees are faced with a lack of continuity between the supervision they received during their academic training and the supervision they are getting for licensure. They are confronted with a supervisor who does not have a complete picture of the course of their development as a counselor and whose expectations may not be consistent with the level of skill they possess. They then find that supervision provides them with too much, or too little, oversight. The latter is especially dangerous, as it creates liability for both the supervisor and the supervisee.

It would seem, then, crucial to bridge the chasm between supervision provided during academic training and supervision for licensure.

Framing and Documenting Supervision

Despite their general failure to use objective methods of supervision, to ask about prior remediation plans, or to collect information from previous supervisors the majority of participants in this study were making an attempt to formally frame and document supervision. In fact, 73.1% of respondents reported creating a written supervision contract with their supervisees that included the methods of supervision to be used, the frequency of meetings, and the responsibilities of both supervisee and supervisor. The creation of a supervision contract is an important first step in the gatekeeping process as it sets expectations and provides a framework to which the supervisee and supervisor can refer if difficulties arise in the course of supervision. The majority of supervisors (76.7%) also reported keeping supervision notes for each session of supervision. Keeping supervision notes is a particularly crucial component of gatekeeping, as it provides a record of what was discussed in supervision, what recommendations a supervisor made, and the supervisee's response to supervision. These notes are critical if a supervisee challenges a supervisor's decision or if a supervisor needs to provide justification for remediation or endorsement decisions. The majority of supervisors in this study, then, were taking important steps to frame and document supervision in ways that could contribute to gatekeeping.

Endorsing for Licensure

Refusing to Endorse

Despite the low utilization of objective methods of supervision, 78 supervisors (28.7%) in this study did report refusing to provide endorsement for licensure to at least one individual. Whether they were aware of it or not, their reasons for doing so resemble the definitions of impairment provided by multiple authors (e.g., Frame & Stevens-Smith, 1995; Lamb, 1987; Overholser & Fine, 1990). That is, the primary reasons supervisors in this sample gave for refusing to provide endorsement for licensure to an individual were due to the individual's (a) difficulty understanding or adhering to ethical standards; (b) demonstration of troubling personal characteristics or emotional distress that interfered with professional functioning; or (c) inability to acquire and demonstrate the clinical skills needed to function independently as a practitioner. Respondents also cited a supervisee's non-compliance with supervisory recommendations and evidence of lack of commitment or motivation in supervision or the profession as reasons for withholding endorsement.

Although the qualitative nature of this data makes generalization to the population at large impossible, it is interesting that the data closely parallel the problems and characteristics academic faculty commonly cite when asked to identify signs of impairment in students. Impairment can arise at any point in one's professional life. Thus, it cannot be assumed that the individuals who supervisors refused to endorse for licensure showed evidence of impairment during their academic training. However, given that the majority of supervisors are not consulting a supervisee's previous academic or clinical supervisors at the outset of supervision nor asking supervisees if they have

ever received a remediation plan it cannot be assumed that the supervisees who were denied endorsement *did not* present as impaired during their academic training. This raises intriguing questions for future research that will be discussed later in this chapter.

Endorsing in Spite of Reservations

Forty-eight supervisors (17.8%) in the current study reported endorsing an individual for licensure in spite of reservations about that individual's level of skill or suitability for the profession. Their primary reason for doing so was the belief in the supervisee's overall level of competence. If, as Barnett, Doll, Younggren & Rubin (2007) suggest, competence is viewed on a continuum, then these supervisors believed that regardless of whatever shortcomings a supervisee might have had, they fell far enough along the continuum of competence to merit endorsement for licensure and independent practice. Supervisors in this sample weighed their concerns against their supervisees' full range of skills and abilities and concluded that the concerns were not of sufficient severity to withhold endorsement. Respondents also cited a belief in the ability of their supervisee to grow as a factor that influenced their decision to provide endorsement in spite of their reservations. An encouraging finding is that some respondents reported providing endorsement to an individual about whom they had reservations because they had addressed their concerns with the supervisee and felt the issues(s) had been addressed. This finding speaks to the ability of these supervisors to engage in appropriate gatekeeping by targeting areas of concern for intervention and ensuring that those areas are addressed in supervision. Supervisors in this sample also sought out consultation and provided endorsement to a supervisee about whom they had reservations after conferring with colleagues. In some cases, the supervisors chalked up

their concerns to interpersonal or stylistic differences between themselves and the supervisee rather than any kind of impairment on the part of the supervisee.

Given the incidence of gateslipping (where impaired students slip through training programs without intervention) at the academic training level it is concerning, but not surprising, to find that supervisors of post-matriculation, pre-licensed counselors have provided endorsement for licensure to individuals about whom they have reservations. In many cases the supervisors believed their concerns had been addressed or that the supervisee was competent despite whatever concerns existed. Assuming respondents were accurate in their assessment and truthful in their reporting the endorsements are not too alarming. However, the belief that the supervisee would continue to grow and develop over time emerged as the second most common reason supervisors gave for providing endorsement in spite of reservations. This finding does create cause for concern, as it perpetuates the cycle of non-intervention. Furthermore, once an individual has received a license to practice independently his or her practice is no longer monitored and there are no formal mechanisms in place to ensure that growth actually occurs. The belief in the ability to grow must be counter-balanced, at some point, by the need to protect clients from potential harm caused by a counselor who has not yet grown enough to be reliably helpful to most clients.

The Relationship Between Training and Gatekeeping

The amount of training participants in this sample had in supervision had little relationship to the amount of time they spent engaged in objective methods of supervision such as live observation or review of audio or video recordings of counseling sessions. Although supervisors with greater training in supervision might be expected to

be more thorough in the gatekeeping aspects of their supervisory practice, this is not apparently the case. This result likely speaks to the technical, institutional, and practical obstacles involved in engaging in methods of supervision other than self-report. Supervisors are unlikely to use more objective methods of supervision unless these barriers are systematically addressed within the profession. An interesting finding, however, is that supervisors who had refused to endorse at least one person for licensure had a higher median number of hours of training in supervision than those who had never refused endorsement to an individual. This suggests that the more training supervisors receive in supervision the more likely they are to engage in the ultimate act of gatekeeping, refusal to endorse someone for licensure, even if they are failing to use the more objective methods of supervision.

Implications and Recommendations for Practice

Results of this study indicate that supervisors of post-matriculation, pre-licensed counselors provide supervision and endorsement for licensure within an information vacuum that makes it very difficult to adequately protect client welfare, promote supervisee development and ensure that those who receive endorsement for a counseling license possess the necessary skills and professionalism for independent practice. The findings point to a need for an increased emphasis on gatekeeping at the licensure level. This will require greater regulation on the part of state licensing boards, cooperation from academic programs and state counseling associations, and a willingness by supervisors to advocate for the time and resources needed to provide high-quality supervision that fulfills their duty to engage in gatekeeping methods. I present the role each group may

play in addressing the need for greater gatekeeping is discussed in the following paragraphs.

State Licensing Boards

As discussed in the introduction to this study, supervision for licensure is poorly defined and regulated across the United States. State licensing boards are very specific about the kind of training and the number of experiential hours an individual needs in order to be licensed as a professional counselor. Conversely, licensure regulations tend to be much less specific about the amount and types of training an individual must have in order to supervise a candidate for licensure or what methods a supervisor must use when providing supervision and when evaluating a candidate for licensure. Even in states where supervisors are required to have some amount of training in supervision the results of this study suggest that the amount of training has little influence on what methods supervisors use. Thus, it is reasonable to conclude that, unless required to do so, supervisors will likely not use the more objective methods of supervision. As such, state licensing boards should be much more specific about what constitutes appropriate supervision for licensure. The use of objective methods should be required, as should the creation of a supervision contract and the maintenance of supervision notes. In addition, supervisors should be required, at the outset of supervision, to ask supervisees about any remediation plans they may have been required to complete and to document an attempt to obtain a supervisee's past evaluations from previous supervisors. Boards should also provide supervisors with specific criteria for evaluating supervisees, outlining the skills necessary for independent practice.

In addition to providing greater regulation, state counseling boards can facilitate research on post-academic, pre-licensure supervision by making it easier for researchers to access supervisors and supervisees. The process of creating a subject pool for this study was extremely difficult, as most states do not keep lists of individuals who provide supervision for licensure let alone make them publicly available. Many of the lists that do exist include postal addresses for supervisors but not e-mail addresses. Although researchers could use postal addresses to reach potential participants, the costs associated with doing so are often prohibitive. It would be extraordinarily helpful to researchers if state licensing boards routinely collected the names, postal addresses, ***and*** e-mail addresses of individuals who provide supervision for licensure. The same information could be collected for supervisees who have registered their supervision for licensure and are in the process of obtaining the requisite hours. This information could then be compiled into lists and, with the approval of those listed, given to researchers who request them for legitimate research studies that have received IRB approval.

Academic Training Programs

Aside from improving upon their own gatekeeping practices, academic programs need to help bridge the divide between academic training and post-academic practice. They can do so by creating credentialing files, independent from a student's academic file, which can be accessed by individuals providing supervision for licensure to graduates of the training program. Credentialing files might include all supervisory evaluations from practicum through internship. Access to these evaluations would help individuals providing supervision to those seeking licensure obtain the perspective of individuals who supervised a trainee during an academic program but whose whereabouts

are unknown. In addition, the credentialing file might contain information on any remediation plans a student may have been required to complete during academic training. Information about remediation procedures might include a description of the problem, the recommended remediation plan, the student's response to the plan, and the outcome. Information from credentialing files may be forwarded to a student's post-academic supervisor once the program receives an appropriate release of information.

Academic programs can also bridge the divide between academic training and post-academic practice by focusing more of their research on supervision for licensure. The current body of literature on supervision, particularly in counseling, is dominated by studies and theoretical articles focusing on clinical supervision during academic training. Very little attention has been paid to post-academic supervision specific to the licensing of counselors, or other mental health professionals, for independent practice. This gap in the professional literature is caused, in part, by ease with which supervision during academic training can be studied. Students in training programs who are currently under supervision for practicum or internship or doctoral students who are training to be supervisors by providing supervision to master's students make easy targets for subject pools. Accessing and securing the cooperation of individuals providing or receiving supervision for licensure is much more difficult. Yet increasing the amount of research available on post-academic, pre-licensure supervision, especially gatekeeping during such supervision, is crucial to strengthening the profession and protecting client welfare. Greater interest in this area on the part of researchers would increase visibility and awareness while also filling a critical gap in the literature.

State Counseling Associations

State counseling associations, as organizers and providers of continuing education opportunities for counseling professionals, can assist in strengthening gatekeeping during supervision for licensure by emphasizing it during educational programs on supervision. Individuals who attend training programs on supervision organized by state counseling associations should be made aware of the importance of gatekeeping, the rate of gateslipping during academic training, and the methods of supervision that contribute to gatekeeping. Educational programs focused on supervision for licensure should also incorporate legal methods of remediation available to supervisors of post-academic counselors.

Supervisors

Improving gatekeeping during supervision for licensure will require supervisors to be much more diligent in screening and monitoring supervisees. One way to effectively meet their gatekeeping responsibilities is for supervisors to approach the beginning of supervision just as they would the beginning of counseling with a new client. For example, they might obtain a thorough developmental history of the new supervisee, focusing on educational history, reasons for becoming a counselor, training experiences, supervisory experiences and critical events in the course of academic training. A good developmental history should give a supervisor a picture of a supervisee's experiences with different populations and problems, areas of strength and areas in need of growth. Supervisors could specifically ask about any remediation plans a supervisee may have been required to complete during their training, viewing any occurrence of remediation as they would an occurrence of prior treatment with a new

client. That is, a remediation plan should be viewed as a time in the course of a supervisee's development when the supervisee struggled and required added support and education on the way to becoming a professional. It should *not* be seen as a sign of a currently impaired or incompetent counselor. Impairment, after all, is not a static state, nor lack of skills; rather, an impairment or skill deficit is best viewed as a guide to potential difficulties or challenges a supervisee may encounter as he or she continues to gain experience and grow as a counselor. The reasons for a remediation plan, the supervisee's perspective on it, and the outcome of the remediation should be explored with the supervisee. This information adds to the developmental picture and allows a supervisor to be aware of areas in which a supervisee may need support in the future, responding proactively to preventatively to issues that may arise in supervision.

Supervisors might also cross-check the information they obtain from a new supervisee with evaluations from the supervisee's previous academic and clinical supervisors. Just as a good clinician makes an attempt to obtain treatment records from a client's past providers, a good supervisor should make an attempt to contact a supervisee's past supervisors and obtain information about the supervisee's performance, strengths, and limitations. Doing so allows a supervisor to access information a supervisee may have forgotten and to verify a supervisee's own account of his or her developmental history. Because students in master's-level training programs are often supervised by doctoral students whose contact information is unknown by the time the student graduates and begins supervision for licensure, having access to a credentialing file that contains previous evaluations would be especially helpful to supervisors trying to obtain a thorough picture of their supervisee's strengths and areas for growth.

The use of multiple methods of evaluation is required in the ethical codes of both the American Counseling Association (2005) and the Association for Counselor Education and Supervision (1993). Supervisors who wish to engage in ethical supervision, then, would be wise to heed this requirement. Admittedly, the realities of counseling practice outside the highly structured academic environment make it much more difficult for supervisors to engage in live observation or to obtain audio or video recordings of their supervisees providing counseling services. Nevertheless, supervisors need to make a greater effort to do just that. They must work with their supervisees to overcome technical barriers and secure permission to record or observe client sessions. In cases where a supervisor is employed within an agency and provides supervision as a part of employment, they will need to advocate within the system for the time and resources necessary to provide quality supervision to a supervisee. Even when live observation or video/audio recording is impossible supervisors can still review paperwork and obtain client satisfaction surveys. While not a complete substitute for viewing or listening to a session, reviewing paperwork and surveys provides a more complete picture of a supervisee's degree of competence than simple self-report. Given the relative ease with which satisfaction surveys can be obtained and paperwork reviewed, there is simply no good excuse for a supervisor who fails to do so.

Limitations

Studies that rely on self-report, as this one does, should be interpreted with caution. Recall is not always accurate and there are no guarantees that participants understood each question and responded accurately or honestly. It is possible, for example, that respondents inflated the number of hours they spend on objective methods

of supervision in an effort to present their supervisory practices in the most positive light. Similarly, it is also possible that respondents under-reported the number of supervisees they have endorsed for licensure in spite of reservations. Providing endorsement to an individual who may not be competent or appropriate for the profession is unethical and respondents may have felt it was too risky to acknowledge such an act despite the anonymous nature of the survey.

The reliability of the data collected in this survey may also be affected by response bias. Invitations to participate in the survey reached at least 2,482 individuals, yet only 279 completed surveys were received. While it is likely that many of the original 2,482 possible subjects were ineligible to participate in the study, it is also possible that those who completed the survey were unique in some way unknown to the researcher. Individuals who completed the survey may have felt particularly strongly about the topic or had some other motivation that compelled them to participate. It is simply not known how those who responded to the survey differed from those who did not, and this complicates the reliability of the data.

The qualitative data collected in this study is specifically limited by the fact that respondents could not be probed for further information or prompted to elaborate on their responses. This limitation is reflected in the brevity of the responses provided to the open-ended questions. The inability to probe further into participant responses leaves open the possibility that the qualitative data are incomplete and do not fully capture the true reasons supervisors had for refusing to endorse someone for licensure or deciding to endorse someone in spite of their reservations. Furthermore, the inability to conduct

member checks makes it possible that responses were interpreted by me and my peer reviewer in ways the respondents did not intend.

Although every individual who received an invitation to participate in this survey had an e-mail address indicating possession of an e-mail account, it is possible that not every individual felt sufficiently comfortable with the on-line nature of the survey to participate. Despite the anonymous nature of the survey and the assurance of confidentiality, some participants may have felt uneasy about providing sensitive information about their supervisory practices over the internet. This may have contributed to any dishonest reporting that may have occurred. Furthermore, individuals who are uncomfortable with the internet in general may have been discouraged from taking the survey thus unnecessarily reducing the number of participants.

This study relies on a convenience sample that limits the degree to which the results can be generalized to the larger population of supervisors. While there are no statistics describing the entire population of supervisors for licensure the demographics and statistics that describe this sample cannot be assumed to fill this void. A larger study using a random sample of all supervisors across the United States would be necessary to develop a frame of reference for the entire population of supervisors. It is hoped that the results and recommendations included in this study will lay the groundwork for such a national study to take place in the future.

Recommendations for Future Research

This study fills a small portion of a wide gap in the literature on supervision and gatekeeping at the licensure level. The results provide a snapshot of the practices of supervisors of post-matriculation, pre-licensed counselors. This snapshot, however, is

limited by the particular methodology of this study. The picture could be made much clearer with increased research focused on supervisors of post-matriculation, pre-licensed counselors, supervisees receiving supervision for licensure, and counselors who have been subjected to disciplinary procedures through state licensing boards.

Supervisors

Given the difficulty inherent in identifying and contacting individuals who provide supervision for licensure it is not surprising that few studies to date have tapped this population for research. It is vital, however, that the profession reach out and gather information from this population. The anonymous nature of this study, coupled with its on-line administration, made it impossible to follow up with participants to obtain further information. The qualitative data is especially constrained by this limitation. Future researchers may want to use phone interviews or focus groups to engage supervisors of post-matriculation, pre-licensed counselors in a deeper discussion of gatekeeping issues, probing for their knowledge of gatekeeping, their experiences with impaired supervisees, and the obstacles they face to engaging in gatekeeping.

A second area of research with the population of supervisors of post-matriculation, pre-licensed counselors might focus on knowledge and perception of state licensing regulations, including ethical and legal responsibilities and liabilities. Since the majority of states require no training in supervision in order to provide supervision for licensure, it would be interesting to know how aware supervisors are of their ethical duty to engage in gatekeeping and the legal liability they incur whenever they provide supervision.

Supervisees

A thorough picture of the practices of supervisors of post-matriculation, pre-licensed counselors cannot be obtained without corroborating data from their supervisees. Researchers might consider surveying individuals who are in the process of receiving supervision for licensure to ascertain their experiences of supervision related to gatekeeping methods (e.g., whether they must submit tapes of their counseling sessions, if their supervisor ever observes their sessions as they occur, etc.). Although this population may be even more difficult to reach than the supervisors, it holds an untapped wealth of information on current practice in the field.

Researchers interested in longitudinal work might consider following a cohort of individuals training to be counselors throughout their professional life from academic training through independent practice. Such a study could answer such questions as (a) whether remediation during academic training is a predictor of later refusal for endorsement or state disciplinary action; (b) if students who slip through gatekeeping at the academic training level go on to slip through to licensure without any intervention; and (c) what methods of supervision these individuals employ if/when they become supervisors and how they are influenced by the supervision they received during their own training. A longitudinal study could also provide rich information on the course of counselor development and experiences during professional life.

Counselors Subjected to Disciplinary Procedures

The extent to which failed gatekeeping contributes to problems within the profession cannot be assessed unless the profession engages in research on individuals who have been subjected to state disciplinary procedures and/or lawsuits. Quantitative

and qualitative research is needed to assess whether such individuals presented as impaired during their academic training, if they were required to complete remediation plans during training, and what methods of supervision were used with them during supervision for licensure.

Conclusion

Gatekeeping is a necessary component of counselor training if clients are to be protected from harm. There is a clear consensus in the field on the need for gatekeeping, with both the American Counseling Association and the Association for Counselor Education and Supervision making it a part of their ethical codes for supervision (ACA, 2005; ACES, 1993). While the need is evident, gatekeeping is fraught with difficulties that present formidable obstacles to its implementation. Although gatekeeping has received considerable attention at the academic training level, it has not been formally studied at the licensure level. The researcher sought to fill that gap by conducting this study, focusing on the extent to which supervisors of post-matriculation, pre-licensed counselors engage in gatekeeping. Specifically, the researcher sought to assess: (a) what methods of supervision supervisors of post-matriculation, pre-licensed counselors use that promote gatekeeping; (b) whether training in supervision increases the likelihood that supervisors engage in gatekeeping; (c) if supervisors endorse individuals for licensure about whom they have reservations; and (d) what barriers supervisors of post-matriculation, pre-licensed counselors report to engaging in gatekeeping at the licensure level.

Analysis of the descriptive data obtained in this study revealed that supervisors of post-matriculation, pre-licensed counselors engage in very few practices that promote

gatekeeping in the course of supervising an individual for licensure, relying mostly on self-report of supervisees. Supervisors in the sample admitted to endorsing individuals for licensure despite concerns about their level of skill or appropriateness for the profession. However, supervisors also reported refusing to endorse some individuals for licensure due to skill deficits, an inability to adhere to ethical standards, or evidence of impairment. The amount of training a supervisor had in supervision had no appreciable relationship to the amount of time supervisors spent engaged in the more objective methods of supervision. There was, however, a significant difference in the median number of hours of training reported by supervisors who had refused to endorse at least one individual for licensure compared to the median number of hours of training of those who had never refused to endorse someone for licensure, with the former group having a higher median.

Supervision plays a crucial role in training professional counselors while protecting client welfare and enhancing the reputation of the profession. The profession relies on supervisors to accurately assess the skills and professionalism of their supervisees before endorsing them for independent practice. The results of this study suggest a need for increased training of supervisors and increased regulation of supervision for licensure if the goals of supervision are to be met in the course of post-matriculation, pre-licensure supervision. It is hoped that this study will lead the profession to sharpen its focus on supervision for licensure by increasing the amount of research conducted in this area with the goal of understanding current practice and improving standards. Indeed, the profession *must* do so if it is to meet its highest duty to ensure that clients are protected from harm.

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Appendix A

Survey of Supervisor's Endorsement Practices

QUALIFICATION QUESTION:

Have you provided supervision to at least one individual who had already completed his/her academic training and was pursuing licensure as a counselor in the last 10 years?

YES
NO

SECTION 1: DEMOGRAPHICS

This section collects basic demographic information.

1. Please select your Sex:
   - Male
   - Female
   - Intersex

2. Please enter your age:

3. Please select one of the following that best describes your racial/ethnic group:
   - American Indian or Alaska Native
   - Asian/Pacific Islander
   - Biracial/Multi-racial
   - Black or African-American
   - Caucasian
   - Hispanic/Latina/Latino
   - Middle Eastern
   - Other: Please describe

4. Please indicate the highest degree you have obtained:
   - M.Ed., MA, or MS in Counseling or Counselor Education
   - Ed.S. in Counselor Education or Counseling
   - Ed.D. in Counselor Education or Counseling
   - Ph.D. in Counselor Education or Counseling
   - Ph.D. in Counseling Psychology
   - Ph.D. in Clinical Psychology
   - Psy.D
   - MSW
   - DSW
   - Other

5. Please indicate the type of license(s) you hold:
   Licensed Professional Counselor (LPC)
   Licensed Professional Clinical Counselor (LPCC)
   Licensed Mental Health Counselor (LMHC)
   Licensed Clinical Mental Health Counselor (LCMHC)
   Licensed Clinical Social Worker (LCSW)
   Licensed Psychologist
   Other: Describe

6. Please enter the number of years you have been licensed:

7. Please enter the number of years you have been providing supervision for licensure to individuals who have completed their academic training:

8. Please enter the **total** number of individuals you have supervised for licensure ***as a counselor*** after they have graduated from their counseling program (do not include supervision provided to individuals while they were completing their practicum or internship requirements for their counseling degrees or to individuals applying for licensure as a social worker or psychologist) :

9. Are you currently supervising at least one person who is pursuing licensure as a counselor?
   YES
   NO

10. Please estimate the total number of hours of training (continuing education or academic/university-based coursework) you have in supervision and enter it here (Please enter clock hours, remembering that 1 credit = 15 clock hours):

SECTION 2: SUPERVISION PRACTICES

This section collects information on your supervision practice with counselors who have already graduated and are continuing to work on accumulating the required hours of counseling service for licensure.

11. When beginning supervision with a new supervisee, do you create a written supervision contract, signed by you and the supervisee, that includes the methods of evaluation, frequency of meetings, and responsibilities of both you and supervisee?
   YES
   NO

12. How often do you take notes on your supervision sessions with each supervisee?
   Each session
   Every other session
   I do not keep supervision notes
   I take notes only when it is important for the continuity of services

13. In the entire course of supervision *with one supervisee* who has already graduated and is working towards licensure as a counselor, please estimate the ***total number of hours*** you spend engaging in live observation (watching a supervisee's session as it occurs):

14. In the entire course of supervision *with one supervisee* who has already graduated and is working towards licensure as a counselor, please estimate the ***total number of hours*** you spend engaging in review of audio recordings of counseling sessions provided by the supervisee:

15. In the entire course of supervision *with one supervisee* who has already graduated and is working towards licensure as a counselor, please estimate the ***total number of hours*** you spend engaging in review of video recordings of counseling sessions provided by the supervisee:

16. In the entire course of supervision *with one supervisee* who has already graduated and is working towards licensure as a counselor, please estimate the ***total number of hours*** you typically spend listening to the supervisee's self-report of what occurs in their sessions with clients:

17. In the entire course of supervision *with one supervisee* who has already graduated and is working towards licensure as a counselor, please estimate the ***total number of hours*** you spend engaging in review of intakes, case notes, or other written documentation completed by the supervisee:

18. In the entire course of supervision *with one supervisee* who has already graduated and is working towards licensure as a counselor, please estimate ***how many times*** you review the results of satisfaction surveys completed by clients of the supervisee:

19. When beginning supervision with a new supervisee, do you ask if they were ever required to complete a remediation plan during their graduate training?

YES
NO

20. When beginning supervision with a new supervisee, do you request evaluations or other information from the supervisee's previous academic and/or clinical supervisors?

YES
NO

SECTION 3: ENDORSING FOR LICENSURE

Research indicates that faculty struggle with many competing demands when deciding if they should endorse a student for graduation from a training program and entry into the profession. These competing demands sometimes lead faculty to endorse a student for graduation despite reservations about the student's level of skill or suitability for the profession. Supervisors in post-academic situations likely face the same struggles as those reported by faculty members. I would like to know what challenges you may have

encountered in the process of deciding to endorse someone for licensure as a counselor. As a reminder, your responses are anonymous.

21. How many individuals have you refused to endorse for licensure as a counselor? (include only those who had already completed their graduate training)

21a. If your answer to the last question was greater than 0, please explain the factors that influenced your decision to refuse to endorse that/those supervisee(s) for licensure:

22. How many individuals have you endorsed for licensure as a counselor in spite of having some reservations about their skill level or suitability for the profession? (again, only include those who had already completed their graduate training)

22a. If your answer to the last question was greater than 0, please explain what led you to endorse someone you had reservations about:

Thank You for Sharing Your Time and Expertise!

Appendix B

E-mail to Pilot Participants

Dear {FIRST_NAME},

I am a doctoral student at the University of Virginia. I am in the process of preparing for my dissertation proposal on common practices of supervisors working with counselors who have completed their academic training and are acquiring hours for licensure. Below you will find a link to a survey I am piloting for my dissertation. The survey explores what methods supervisors use when supervising someone for licensure as a counselor. It also explores the challenges supervisors may face when deciding whether to endorse someone for licensure.

I would like to invite you to participate in this pilot because of your expertise in this area. In doing so, I will ask that you complete the survey I created for my dissertation. After completing the pilot instrument, I will ask that you respond to questions about your experience with the survey and any suggestions you have to improve it. Please click on the link below. You will be directed to an informed consent document, which will provide additional information. If, after you have reviewed that document you are willing to participate, please complete the survey.

Just to let you know, as you will see in the informed consent document, I will not use your responses to survey items as data. I will, however, report in aggregate format, the responses of participants to the questions at the end of the survey. These questions focus on the format and clarity of survey items, ease of using the on-line survey tool, the time needed to complete the survey, and any suggestions for improving the survey. I will use your comments to make revisions to the survey that will aid in my dissertation.

If you have any questions, please feel free to contact me at cmm9y@virginia.edu or contact Dr. Harriet Glosoff, my dissertation Chair, at hglosoff@virginina.edu. I greatly appreciate your time and participation. Your cooperation will help me complete my dissertation and I cannot thank you enough for sharing your time and expertise.

Sincerely,

Cindy Miller, M.Ed., NCC, LPC
Doctoral Candidate
University of Virginia

<ANONYMOUS_SURVEY_LINK>

Appendix C

E-mail to State Counseling Boards Requesting Cooperation

Dear Colleague:

My name is Cindy Miller and I am a doctoral candidate at the University of Virginia. I am in the process of preparing my dissertation proposal. My research looks at 1) how supervisors decide whether or not to endorse someone for licensure as a counselor and 2) if supervisors endorse people for licensure in spite of reservations about a candidate's skills or suitability for the profession and why. I have designed a survey to be administered on the world wide web. I would like to invite supervisors who have provided supervision for licensure to participate in this study. I am e-mailing you to see if the INSERT BOARD NAME is willing to assist me in reaching these supervisors.

Ideally, I would like to survey all supervisors who have endorsed someone for licensure as an LPC in your state in the last 2 years. To do so, I would need the first name, last name, and e-mail addresses of these individuals, preferably in an Excel spreadsheet. I would use this information to send the supervisors a personalized e-mail invitation to participate in the survey. I am the only person who would have access to the names and e-mail addresses and I will not release them to anyone else and I will destroy the email list once my study is completed. Further, all responses to the survey will be anonymously collected and no information about individuals will be reported in any publications or presentations related to my dissertation.

In lieu of providing me with the names and e-mail addresses, please let me know if you would prefer to forward an e-mail invitation to the supervisors in your state. If so, I will be happy to email you the invitation, which can then be forwarded from the Board to supervisors.

Please note that my study will be approved by the University of Virginia Institutional Review Board (IRB) before I send any invitations to supervisors. Before I can submit my formal request to the IRB, however, I need to know which state counseling licensure boards will assist in disseminating invitations to potential participants. Because of this, if you are willing to help me, please reply to this e-mail at your earliest convenience.

I would greatly appreciate any assistance you can provide. If you would like any additional information about the survey, please contact me (email: cmm9y@virginia.edu; phone: 434-882-4756) or Dr. Harriet Glosoff, the chair of my dissertation committee (email: hglosoff@virginia.edu; phone: 434-243-8717).

Sincerely,
Cindy Miller
Email: cmm9y@virgina.edu
Phone: (434) 882-4756

Appendix D

E-mail to Identified Supervisors

Subject: Invitation to participate in a survey of supervision practices

Dear {FIRST_NAME},

My name is Cindy Miller and I am a doctoral student at the University of Virginia. I am currently in the process of writing my dissertation on common practices of supervisors working with counselors who have completed their academic training and are acquiring hours for licensure. I need your help to complete my study.

Below you will find a link to a short survey exploring what methods supervisors use when supervising someone for licensure as a counselor and what challenges supervisors may face when deciding whether to endorse someone for licensure. I would like to invite you to participate in this survey because of your experience in supervising counselors for licensure.

If you have provided supervision for licensure as a counselor to at least one person in the last 10 years and you are willing to help me with this study, please click on the link below. You will be directed to an informed consent document, which will provide additional information. If, after you have reviewed that document you are willing to participate, please complete the survey. You should be able to finish the entire survey in about 10 minutes.

Your participation in this survey is entirely voluntary and all of your responses will be completely anonymous. At the end of the survey you will be provided with an opportunity to enter a drawing for one of five $20 gift certificates to Best Buy, which I am raffling off as a token of my appreciation for your participation. To enter the drawing, you will need to provide me with your name, phone number and e-mail address. However, this information will be collected separately from the survey and will not be linked in any way to the data you provide.

If you have any questions, please feel free to contact me at cmm9y@virginia.edu or contact Dr. Harriet Glosoff, my dissertation Chair, at hglosoff@virginina.edu. I greatly appreciate your time and participation. Your cooperation will help me complete my dissertation and I cannot thank you enough for sharing your time and experiences.

Sincerely,

Cindy Miller, M.Ed., NCC, LPC
Doctoral Candidate
University of Virginia

<ANONYMOUS_SURVEY_LINK>

If you do not want to participate in the survey or do not want to receive any additional reminders, please e-mail me at cmm9y@virginia.edu and I will remove you from the list.

Appendix E

Reminder E-mail to Identified Supervisors

Subject: Reminder re: Supervision survey

Dear {FIRST_NAME},

Last month you received an e-mail inviting you to participate in a study I am conducting to complete my dissertation research on common practices of supervisors working with counselors who have completed their academic training and are acquiring hours for licensure. If you have already completed the survey, **thank you**. I know the holiday season was terribly busy and I appreciate your time and patience. If you have not yet responded to the survey, I hope you will take a few minutes to help me before the survey closes on January 22, 2010.

The survey is short and should only take you about 10 minutes to complete. Your participation is important, as your responses will help the field better understand the challenges faced by supervisors who provide supervision for licensure.

Below you will find a link to the survey. If you have provided supervision for licensure as a counselor to at least one person in the last 10 years and you are willing to participate, please click on the link. You will be directed to an informed consent document, which will provide additional information. If, after you have reviewed that document you are willing to participate, please complete the survey. You will then be given the opportunity to enter a drawing for one of five $20 gift certificates to Best Buy that I am raffling off as a token of my appreciation for your time and cooperation.

If you have any questions, please feel free to contact me at cmm9y@virginia.edu or contact Dr. Harriet Glosoff, my dissertation Chair, at hglosoff@virginina.edu. You will receive one final reminder around January 13, after which you will not receive any additional e-mails from me. I greatly appreciate your time, participation, and patience. Your cooperation will help me complete my dissertation and I cannot thank you enough for sharing your time and expertise.

Sincerely,

Cindy Miller, M.Ed., NCC, LPC
Doctoral Candidate
University of Virginia

<ANONYMOUS_SURVEY_LINK>

P.S. If you do not want to receive any further e-mails about the study, please e-mail me at cmm9y@virginia.edu and I will remove you from the list.

Appendix F

Final E-mail to Identified Supervisors

Subject: Final opportunity to share your experience

Dear {FIRST_NAME},

I appreciate your time and attention. You recently received an e-mail inviting you to participate in a study I am conducting to complete my dissertation research on common practices of supervisors working with counselors who have completed their academic training and are acquiring hours for licensure. If you have already completed the survey, **thank you**. If you have not yet responded to the survey, I hope you will take a few minutes to help me before the survey closes this Friday, January 22, 2010.

The survey is short and should only take you about 10 minutes to complete. Below you will find a link to the survey. If you have provided supervision for licensure to at least one person in the last 10 years and you are willing to participate, please click on the link. You will be directed to an informed consent document, which will provide additional information. If, after you have reviewed that document you are willing to participate, please complete the survey. You will then be given the opportunity to enter a drawing for one of five $20 gift certificates to Best Buy that I am raffling off as a token of my appreciation for your time and cooperation.

If you have any questions, please feel free to contact me at cmm9y@virginia.edu or contact Dr. Harriet Glosoff, my dissertation Chair, at hglosoff@virginina.edu. Please note that you will not receive any further reminders. I greatly appreciate your time and participation. Your cooperation will help me complete my dissertation and I cannot thank you enough for sharing your time and expertise.

Sincerely,

Cindy Miller, M.Ed., NCC, LPC
Doctoral Candidate
University of Virginia

<ANONYMOUS_SURVEY_LINK>

You will not receive any further e-mails regarding this study.

Appendix G

E-mail Invitation to Identified Counselors

Subject: Supervision for licensure

Dear {FIRST_NAME},

My name is Cindy Miller and I am a doctoral student at the University of Virginia. I am currently in the process of writing my dissertation on common practices of supervisors working with counselors who have completed their academic training and are acquiring hours for licensure. I need your help to complete my study.

Below you will find a link to a short survey exploring what methods supervisors use when supervising someone for licensure as a counselor and what challenges supervisors may face when deciding whether to endorse someone for licensure. If you have provided supervision for licensure as a counselor to at least one person in the past 10 years, I would like to invite you to participate in this survey.

If you are willing to help me with this study, please click on the link below. You will be directed to an informed consent document, which will provide additional information. If, after you have reviewed that document you are willing to participate, please complete the survey. You should be able to finish the entire survey in about 10 minutes.

Your participation in this survey is entirely voluntary and all of your responses will be completely anonymous. At the end of the survey you will be provided with an opportunity to enter a drawing for one of five $20 gift certificates to Best Buy, which I am raffling off as a token of my appreciation for your participation. To enter the drawing, you will need to provide me with your name, phone number and e-mail address. However, this information will be collected separately from the survey and will not be linked in any way to the data you provide.

If you have any questions, please feel free to contact me at cmm9y@virginia.edu or contact Dr. Harriet Glosoff, my dissertation Chair, at hglosoff@virginina.edu. I greatly appreciate your time and participation. Your cooperation will help me complete my dissertation and I cannot thank you enough for sharing your time and experiences.

Sincerely,

Cindy Miller, M.Ed., NCC, LPC
Doctoral Candidate
University of Virginia

<ANONYMOUS_SURVEY_LINK>

If you do not want to participate in the survey or do not want to receive any additional reminders, please e-mail me at cmm9y@virginia.edu and I will remove you from the list.

Appendix H

Reminder E-mail to Identified Counselors

Subject**:** Reminder re: Supervision Survey

Dear {FIRST_NAME},

Last month you received an e-mail inviting you to participate in a study I am conducting to complete my dissertation research on common practices of supervisors working with counselors who have completed their academic training and are acquiring hours for licensure. If you have already completed the survey, **thank you**. I know the holidays were very busy and I appreciate your time and patience. If you have not yet responded to the survey, I hope you will take a few minutes to help me before the survey closes on January 22, 2010.

The survey is short and should only take you about 10 minutes to complete. Your participation is important, as your responses will help the field better understand the challenges faced by supervisors who provide supervision for licensure.

Below you will find a link to the survey. If you have provided supervision for licensure as a counselor to at least one person in the last 10 years and you are willing to participate in the study, please click on the link. You will be directed to an informed consent document, which will provide additional information. If, after you have reviewed that document you are willing to participate, please complete the survey. You will then be given the opportunity to enter a drawing for one of five $20 gift certificates to Best Buy that I am raffling off as a token of my appreciation for your time and cooperation.

If you have any questions, please feel free to contact me at cmm9y@virginia.edu or contact Dr. Harriet Glosoff, my dissertation Chair, at hglosoff@virginina.edu. You will receive one final reminder around January 13, after which you will not receive any further e-mails from me. I greatly appreciate your time, participation and patience. Your cooperation will help me complete my dissertation and I cannot thank you enough for sharing your time and expertise.

Sincerely,

Cindy Miller, M.Ed., NCC, LPC
Doctoral Candidate
University of Virginia

<ANONYMOUS_SURVEY_LINK>

If you do not want to participate and do not want to receive any further e-mails, please e-mail me at cmm9y@virginia.edu and I will remove you from the list.

Appendix I

Final Reminder E-mail to Identified Counselors

Subject: Final opportunity to share your experience

Dear {FIRST_NAME},

I appreciate your time and attention. You recently received an e-mail inviting you to participate in a study I am conducting to complete my dissertation research on common practices of supervisors working with counselors who have completed their academic training and are acquiring hours for licensure. If you have already completed the survey, **thank you**. If you have not yet responded to the survey, I hope you will take a few minutes to help me before the survey closes this **Friday, January 22, 2010**.

The survey is short and should only take you about 10 minutes to complete. Below you will find a link to the survey. If you have provided supervision for licensure as a counselor to at least one person in the last 10 years and you are willing to participate, please click on the link. You will be directed to an informed consent document, which will provide additional information. If, after you have reviewed that document you are willing to participate, please complete the survey. You will then be given the opportunity to enter a drawing for one of five $20 gift certificates to Best Buy that I am raffling off as a token of my appreciation for your time and cooperation.

If you have any questions, please feel free to contact me at cmm9y@virginia.edu or contact Dr. Harriet Glosoff, my dissertation Chair, at hglosoff@virginina.edu. Please note that you will not receive any further reminders. I greatly appreciate your time and participation. Your cooperation will help me complete my dissertation and I cannot thank you enough for sharing your time and expertise.

Sincerely,

Cindy Miller
Doctoral Candidate
University of Virginia

<ANONYMOUS_SURVEY_LINK>

You will not receive any further e-mails regarding this study.

Appendix J

E-mail to be Forwarded to Counselors

Subject: Invitation to participate in a survey of supervision practices

Dear {FIRST_NAME},

The _____ Board of Counseling is cooperating with Cynthia M. Miller, a doctoral student at the University of Virginia in a dissertation study on common practices of supervisors working with counselors who have completed their academic training and are acquiring hours for licensure. Your help is needed to complete the study.

Below you will find a link to a short survey exploring what methods supervisors use when supervising someone for licensure as a counselor and what challenges supervisors may face when deciding whether to endorse someone for licensure. If you have provided supervision for licensure as a counselor to as least one individual, you are invited to participate in this survey.

If you are willing to help with this study, please click on the link below. You will be directed to an informed consent document, which will provide additional information. If, after you have reviewed that document you are willing to participate, please complete the survey. You should be able to finish the entire survey in about 10 minutes.

Your participation in this survey is entirely voluntary and all of your responses will be completely anonymous. At the end of the survey you will be provided with an opportunity to enter a drawing for one of five $20 gift certificates to Best Buy, which Ms. Miller is raffling off as a token of my appreciation for your participation. To enter the drawing, you will need to provide your name, phone number and e-mail address. However, this information will be collected separately from the survey and will not be linked in any way to the data you provide.

If you have any questions, please contact cmm9y@virginia.edu or contact Dr. Harriet Glosoff, the dissertation Chair, at hglosoff@virginina.edu. Your time and participation are greatly appreciated.

<ANONYMOUS_SURVEY_LINK>

Appendix K

E-mail invitation posted to CESNET listserv

Subject: Supervision for Licensure

Dear Colleagues:

My name is Cindy Miller and I am a doctoral student at the University of Virginia. I am currently conducting a study on common practices of supervisors working with counselors who have completed their academic training and are acquiring hours for licensure. I need your help is to complete the study.

Below you will find a link to a short survey exploring what methods supervisors use when supervising someone for licensure as a counselor and what challenges supervisors may face when deciding whether to endorse someone for licensure. If you have provided supervision for licensure as a counselor to as least one individual in the last 10 years, you are invited to participate in this survey. Furthermore, if you know of someone who has provided supervision for licensure, please feel free to forward this invitation to them.

If you are willing to help with this study, which has been approved by the University of Virginia IRB, please click on the link below. You will be directed to an informed consent document, which will provide additional information. If, after you have reviewed that document you are willing to participate, please complete the survey. You should be able to finish the entire survey in about 10 minutes.

Your participation in this survey is entirely voluntary and all of your responses will be completely anonymous. At the end of the survey you will be provided with an opportunity to enter a drawing for one of five $20 gift certificates to Best Buy, which Ms. Miller is raffling off as a token of my appreciation for your participation. To enter the drawing, you will need to provide your name, phone number and e-mail address. However, this information will be collected separately from the survey and will not be linked in any way to the data you provide.

I am attempting to reach supervisors in multiple ways and it is possible that you have already received an invitation to participate. If that is the case, I apologize for the double invitation and, as much as I would love a large N for my study, please do not complete a second survey. If you have any questions, please contact cmm9y@virginia.edu or contact Dr. Harriet Glosoff, the dissertation Chair, at hglosoff@virginina.edu. The study will remain open until January31, 2010. Your time and participation are greatly appreciated.

Survey Link: http://MillerSSEP.questionpro.com

Cynthia M. Miller, M.Ed., NCC, LPC
Doctoral Candidate, Counselor Education
University of Virginia