



2nd EDITION

Consultation

Practice and Perspectives
in School and Community Settings

A. Michael Dougherty

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in School and Community Settings

A. Michael Dougherty
Western Carolina University



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2nd
Edition

Consultation
Practice and Perspectives
in School and Community Settings

**Dedicated with love
to my parents,
Arthur and Cecilia;
and to my family,
Leslie, Ashley, and Matt**

Preface

Consultation: Practice and Perspectives in School and Community Settings is written for graduate and undergraduate students in the helping professions. Students in counseling, psychology, social work, human resource development, and other helping-profession training programs will find this book helpful as they seek to acquire the knowledge and skill bases that lead to effective consultation practice. This book can be used either as the primary text in consultation courses or as a supplemental text in courses in the helping professions. Many instructors have found the text useful in introductory and “roles and settings” courses in counseling psychology, school counseling, school psychology, student development, mental health and community counseling, social work, and human resource development. Moreover, practicing consultants can find in this book a wealth of practical and theoretical information to help guide their practice.

In this text, I use *human service professional* as a general term that encompasses counselors, psychologists, social workers, human resource development specialists, and members of other helping professions. At the same time, I have tried to respect the terminology used by the professions covered in this text.

PURPOSE

The purpose of this book is to provide a thorough overview of what students and practicing consultants in the human service professions must know about consultation practice and theory. It presents a generic model for application, surveys the various approaches to consultation, discusses the organizational context of consultation, and reviews the many ethical and professional issues consultants face.

I have found that students learning about consultation appreciate a practical model of consultation before they study specific approaches. As a result, I have provided a generic model at the beginning of the text before discussing specific models. Students also find a variety of case studies helpful in learning how actually to deliver consultation services. Further, many professors note that the greatest challenge in teaching consultation is to make it practical; therefore, I have included numerous case studies to bring consultation concepts to life.

Finally, students say they benefit more from learning about consultation when it involves them personally. As a result, I have structured the book so students can develop a personal model of consultation. Each chapter begins with questions to stimulate the reader's thinking about what follows and ends with questions that encourage the reader to reflect on the material in that chapter. In the case studies, students are asked to make decisions about a particular consultant's behavior.

ABOUT THE SECOND EDITION

In this edition, I have updated the material and refined the discussion of the topics. I have also included many new topics and more extensive coverage than in the first edition. The most broad-based changes are an increased focus on school-based consultation and a significant increase in the number of case studies presented. A new chapter (Chapter 12) surveys school-based consultation with administrators, teachers, and parents. Chapters 3 through 10 each contain a long case study on school consultation and one on community consultation. These revisions create a balance that will appeal to instructors training students for practice in school settings.

The introductory chapter has been updated, and four new case studies have been added. Additions to Chapter 2, "Consultants and Consultees," include a discussion on dealing with cultural diversity and with groups, a review of the research on consultation, and a case study for each consultant role. Chapter 3, "Entry Stage," provides more extensive coverage of resistance, as well as a case study that illustrates each phase of the stage. The remaining chapters about the generic consultation model contain fewer changes but include significant updates and additional case studies. The chapter on ethical, professional, and legal issues contains new material on dual-role relationships.

Chapter 8, "The Nature of Organizations," has been substantially revised. For this edition, I have added coverage of organizational culture and of recent changes in society and organizations. A section entitled "Implications for Consultants" is included for each theory of organization, as well as for the topics of organization change and organizational culture. Chapter 9, "Organizational Consultation," has additional material on Schein's models. Chapter 10, "Mental Health Consultation," includes a discussion of Caplan's most recent work on this subject and a section on the ecological perspective of mental health consultation. Chapter 11, "Behavioral Consultation," updates Bergan and Kratochwill's model. In Chapter 13, I have retained the case study of Acme Human Services Center because it illustrates how the approaches covered in the text are applied to the same setting and context.

OVERVIEW

What does this book contain? What will you discover as you read it? This book is divided into three parts. Part 1, "Consultation and Consultants," sets the stage

for understanding what consultation is and what consultants do. Chapter 1 is an orientation to the practice of consultation. It contains an introduction, a definition of consultation, a brief historical overview, and a glossary of key terms used throughout the text. Chapter 2 includes a discussion of the characteristics of effective consultants, and of the roles in which consultants engage. The current status of research in consultation is reviewed.

Part 2, "A Generic Model of Consultation," describes in detail the ins and outs of the consultation process using a model that involves four stages: entry, diagnosis, implementation, and disengagement. Chapter 3 is about the entry stage; that is, how the consultation process starts. Chapter 4 discusses diagnosis—how the consultant can help to determine the problem to be solved. Chapter 5 describes the implementation stage—how consultants and their consultees attempt to solve the problem. Chapter 6 examines the ending of the consultation process, including the difficulty consultants face in assessing success and how consultants say "good-bye" in a personal yet professional manner. Chapter 7 focuses on the ethical, legal, and professional issues consultants encounter in their practices, such as dual relationships, malpractice, and confidentiality.

Part 3, "Models of Consultation," surveys organizational, mental health, behavioral, and school-based consultation, as well as some of their approaches. Chapter 8 examines the nature of organizations and how they operate. I have included this chapter because nearly all consultation takes place within some type of organization. Chapter 9 discusses organizational consultation, including four specialized applications: education/training, program, doctor/patient, and process. Chapter 10 reviews mental health consultation; because of the traditional popularity of Caplan's (1970) model, I have made it the central focus of the chapter. Chapter 11 explores how consultation uses behavioral technology to benefit clients and organizations and as an aid in training human service professionals and others. Chapter 12 covers school-based consultation, including consultation with administrators, teachers, and parents. Chapter 13 presents a case study application of most of the consultation approaches and includes my own views on how I would proceed in each case.

HOW TO USE THIS TEXT

This text can be used in several ways. Some instructors might want students who are training for work in schools to read Chapter 12 first and students who are training for work in community settings to read Chapter 13 first. This would give each student a sense of how consultation is practiced in his or her field. Other instructors might want to begin with the ethics chapter to instill an understanding of the complexity and seriousness of the decisions made in the consultation process. Still others might want to start with the generic model and cover the specific approaches later, or vice versa. This book has been designed so that the material can be covered in the most logical order no matter how a particular course is taught.

In addition, this text can be used in conjunction with my new text, *Case Studies in Human Services Consultation*, also published by Brooks/Cole. *Case Studies*

contains several cases that describe real-life examples of consultation and illustrate various approaches.

An instructor's manual is also available. It contains a variety of materials, including test questions, suggested class activities, and recommendations for teaching.

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I would like to thank the many graduate students in counseling, psychology, and human resource development at Western Carolina University who contributed indirectly yet significantly to the development of this text. Their feedback on the consultation course I teach was an invaluable asset in determining the final form this text would take. I also wish to thank the following graduate students, who have assisted me in various ways: Peter Buck, Debbie Carl, Jim Humphrey, Nancy Gore, Martha-Todd Sloan, Betty Smathers, Susan Smith, Carole Williford, and Penny Wortman.

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To my wife and life partner, Leslie, my deepest appreciation for her love, support, and understanding during the preparation of this text and for helping me remember that "work is always there and love is not always as accessible." To my children, Ashley and Matthew, thanks for helping me remember how to play.

Finally, to the talented people at Brooks/Cole, I extend my gratitude for being able to work with a first-class group of professionals. It was a true pleasure to work with Claire Verduin, Marie DuBois, Susan Horovitz, Laurie Jackson, Tessa McGlasson, Roy Neuhaus, manuscript editor Robert Racine, and others who helped make this book a reality.

A. Michael Dougherty

To the Student

Consultation is a “head, heart, and hands” process. You come to understand it, then you become a strong advocate for it, then you do it with a passion. The often-used metaphor of the bicycle rider sheds light on what it takes to be an effective consultant. The front wheel provides direction, the back wheel provides the force, and the rider guides the machine to its destination. The rear wheel represents your technical skills (what you do when you consult), the front wheel represents your skill with people (how you consult), and the rider represents your personhood (who you are). When all three elements are in sync, it becomes more probable that you will succeed in your consulting endeavors. This book will help you become an even better “bicycle rider.”

You might want to take special note of the questions at the beginning of each chapter. They are designed to stimulate thought about each chapter’s main points as you read it. In addition, the questions at the end of each chapter are designed to assist you in applying what you have learned through your reading. I hope you will take the time to reflect on these questions after you have completed each chapter.

In addition, supplementary readings are suggested at the end of each chapter. I have chosen these readings carefully and encourage you to read those that interest you.

I also suggest that you look over Chapters 7, 8, 12, and 13 after you read Chapters 1 and 2. Chapter 7 discusses ethical, professional, and legal issues. Even a cursory glance at this chapter will show you the importance of consultation as a professional activity.

Chapter 8 covers the nature of organizations and reinforces the point that all consultation takes place in some organizational context. By skimming through this chapter, you can appreciate the complexity of organizations and, consequently, of consultation.

Chapter 12 is an overview of school-based consultation. If your training is leading you to work as a human service professional in the schools, you will find this chapter particularly informative regarding what school consultation is all about.

Chapter 13 presents the case of Acme Human Services Center and illustrates how various consultation approaches can be applied to that case. By looking through this chapter, you can get a feel for the “nuts and bolts” of the various ways in which consultation can proceed in real life. Once you have obtained a perspective on how consultants actually consult, you can more readily see the critical importance of such procedures as creating relationships with the people with whom you are going to consult.

This is a book about consultation: what it is, how it is effectively practiced, and the forms it can take. I sincerely hope that after reading this book you will be motivated and empowered to perform consultation confidently and effectively.

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