



# UPDATE

North Carolina Social Work Certification and Licensure Board

WINTER 2012

## MESSAGE FROM THE CHAIR

Emily Simmons, MSW, CSWM, ACSW



Emily Simmons, MSW, CSWM, ACSW

### Supervision And Social Work Practice

Supervision is a process integral to the practice of social work. It is critical in the development of good clinical skills and is an administrative tool assuring that basic standards of practice are met.

An excellent supervisory process facilitates learning and may continue off and on throughout a clinical social worker's career, not just during the two mandatory years required by the social work certification and licensing law. It is a process that assures good results for

clients as well as a competent practice for the social worker.

I have seen many social workers come before the NCSWCLB over the past few years with various complaints against them. Often these were created by issues that might have been corrected in the supervisory process before they became problems.

In this newsletter is an article entitled "The Critical Role of the Clinical Supervisor" written by several clinical reviewers, with input from our Executive Director Micki Lilly and me. The clinical reviewers have previously served the Board by evaluating the supervisory documentation presented by LCSWAs (previous PLCSWs) and have an ideal picture of the problems that are occurring.

I hope that if you are providing supervision or receiving it, that you will pay close attention to the details in this article. Assuring that supervision of a LCSWA is provided and reported in an appropriate manner is a legal responsibility taken on when entering into the relationship and many resources for assisting you in that role are referenced in the article. ❖

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OFFICE HOURS  
9 A.M. TO 5 P.M.  
MONDAY-FRIDAY

## P-LCSW Becomes LCSWA

*Micki Lilly, Executive Director*

On June 26, 2012, Governor Perdue signed into law House Bill 1081, which changed the title of the Provisional Licensed Clinical Social Worker (P-LCSW) credential. The former P-LCSW effectively became a Licensed Clinical Social Worker Associate (LCSWA). This amendment to The Social Worker Certification and Licensure Act [NCGS 90B] was exclusively title change legislation and affected none of the mandates for practice, including required supervised practice and examination.

As you can imagine, the legislative change required the Administrative office to make applicable changes to certificates and documents referencing this credential title, and go through the process of amending the administrative rules addressing the former “provisional” license. We appreciate your patience as we continue to address these changes.

The new title was effective immediately. Those individuals issued the old provisional license were immediately advised of the change and informed that although the credential title changed, the license number remained the same (including the ‘P’ prefix). A new certificate has been sent to all LCSWA licensees (former P-LCSW licensees) automatically to the address of record. If you were issued a P-LCSW and have not yet received the new LCSWA certificate, please contact the Board office to obtain your certificate, which, pursuant to NCGS §90B-15, must be conspicuously displayed at your primary place of practice.

**Practice and Supervision requirements remain unchanged:** As with the “provisional” license, the associate licensees *must* practice under the supervision of a MSW who is also a Licensed Clinical Social Worker (LCSW), who is in good standing with the Board, and who has an additional two years of clinical practice experience post LCSW license. All associate licensees must also have immediate access to a licensed mental health professional in the event of an emergency or crisis that requires clinical consultation. Ideally, this would be the LCSW clinical supervisor, but backup arrangements should be discussed and outlined ahead of time and submitted to the Board as the associate licensee’s Emergency Crisis Plan.

The mandate requiring successful examination to be eligible for renewal of the LCSWA license was not affected by the title change legislation. LCSWA licensees must pass the clinical exam during their initial two-year licensure period to be eligible to renew the license and continue accruing practice experience and supervision needed to obtain LCSW license.

For questions concerning the title change or any of the mandates for LCSWA practice, please review the Board’s website and/or contact the administrative office at 1-800-550-7009, or via email at [swboard@asheboro.com](mailto:swboard@asheboro.com). ❖

### NCSWCLB Meeting Schedule

The Board meets eight times during the year beginning at 9:30 am, unless otherwise indicated and usually on the first Friday of the month. Unless otherwise specified, meetings take place at the Administrative Office located at 1207 S. Cox Street, Suite F, in Asheboro, NC.

#### 2013 Calendar Year

Friday – February 1 – 3 (Board Business Retreat)  
 Friday – March 8  
 Friday – May 3  
 Friday – June 7

Friday – August 2  
 Friday – September 6  
 Friday – November 1  
 Friday – December 6

## THE CRITICAL ROLE OF THE CLINICAL SUPERVISOR

Providing clinical supervision to a Licensed Clinical Social Worker Associate is a major legal and competence based responsibility and the board is grateful to those LCSW licensees willing to supervise and mentor new practitioners. The Purpose statement of our governing Statute gives clear legal and practice guidance stating, “*Since the profession of social work significantly affects the lives of the people of this State, it is the purpose of this Chapter to protect the public by setting standards for qualification, training, and experience for those who seek to represent themselves to the public as certified social workers or licensed clinical social workers and by promoting high standards of professional performance for those engaged in the practice of social work*”. [NC Statute 90b-2]

In providing clinical supervision to a LCSWA licensee, the clinical supervisor assists the board in fulfilling its mandate to *protect the public* by insuring that services provided by the LCSWA are appropriately supervised and provided by a competent and ethically responsible practitioner. Supervision and oversight from an experienced LCSW through mentoring, modeling, and monitoring the LCSWA supervisee, insures compliance with practice *standards* and provides opportunity for improved knowledge, skills and abilities in the delivery of clinical social work services. By observing the LCSWA’s practice utilizing established psychotherapies, counseling processes and emerging evidence based practices, the clinical supervisor is able to monitor the LCSWA’s *experience* in the biopsychosocial assessment, diagnosis, treatment and prevention of emotional or mental disorders; and through the supervisory and evaluation process, high standards of professional performance are promoted and maintained.

In North Carolina, a clinical license (LCSW or LCSWA) is required to engage in clinical social work practice. An LCSWA licensee may only engage in clinical social work practice under appropriate supervision. As of November 30, 2012 there were 1860 active LCSWA licensees, and each must have an MSW/LCSW to provide the legally mandated process of clinical supervision. As of the same date, there were 5829 active LCSWs. LCSWA licensees are required to report their clinical practice experience and clinical supervision to the Board every six months. Each LCSWA Six-Month Review document and clinical case summary should be reviewed and signed by the clinical supervisor to insure compliance with clinical practice standards before it is submitted to the Board office.

Through the reporting process we have become aware that there is a range of competence in the clinical supervision of LCSWA licensees. Areas of concern that have been noted through the review process include failure to adequately complete the review document, untimely submissions, insufficient supervision (1 hour of supervision is required for every 30 hours of clinical employment), lack of thoroughness in documenting clinical practice within the case narrative (diagnosis, identified treatment goals, and implementation of applicable treatment interventions), and failure to secure required signatures on all documents including the clinical case summary. All of these components require supervisory oversight and this oversight is the responsibility of the clinical supervisor. The clinical supervisor’s signature on the Position Statement on Clinical Supervision, the Emergency Crisis Plan, and the LCSWA Six-Month Review document including the case summary indicate the supervisor’s acknowledgement of that responsibility.

Previously the Board has utilized Clinical Reviewers to review the reporting documents submitted to the Board. While many Six-Month Review reports are submitted appropriately and timely, the Reviewers have brought to the Board’s attention some concerns about what appears to be a casual approach by some to the regulatory function of clinical supervisory responsibility. In addition to the concerns sited above, many reviews are submitted late, and some are even sent “in mass”...2, 3, or 4 reviews at once, instead of 6 months intervals as required.

It is the expectation of the Board, that the LCSWA Six-Month Review reports will reflect incremental growth of competence over the 2-year period of supervised clinical social work practice. This growth should be evidenced through a demonstrated ability to provide biopsychosocial assessment, diagnosis, treatment or prevention of emotional and mental disorders, and reflected in the clinical summary. It is expected that summaries clearly discuss how clinical services were implemented and relate to the clinical assessment and diagnosis...what was done, how it was done, and the client's use of and response to the clinical interventions. It is also expected that attention be paid to evaluating the LCSWA's clinical ability as reflected in all domains of the evaluation section of the LCSWA Six-Month Review document.

Ethical guidelines should be considered when providing clinical supervision. The Board's Ethical Guidelines are in Section 0.500 of the NC Administrative Code, Chapter 63, of Title 21 governing Occupational Licensing Boards. The full code, as well as the Statutes governing the NCSWCLB, is on the Board's website at [www.ncswboard.org](http://www.ncswboard.org). Guidance related to General Professional Responsibilities, Responsibilities in Professional Relationships, Relationships with Colleagues, Remuneration, Confidentiality and Record Keeping and Public Statements are specifically recommended for LCSWs considering the role of clinical supervisor for an associate licensee.

The Board expects legally sound and competent clinical supervision for persons licensed as an LCSWA. This is critical to insure public protection in the provision of clinical social work service and to prepare social workers for independent clinical practice. As you consider your role as a clinical supervisor, it is important that you make use of the Supervisor's Manual also available online, posted on the Board's website at [www.ncswboard.org](http://www.ncswboard.org). This manual is in the process of being updated to reflect changes in the title of the LCSWA (formerly P-LCSW). The new, revised edition will be posted shortly; however, the information regarding supervision and reporting requirements presented in the current edition remains relevant. ❖

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## Annual Audit of Continuing Education

*Micki Lilly, MSHE, Executive Director*

Since our last publication, the Board has completed two Continuing Education Audits; one for the 2010 Renewals and one for the 2011 Renewals. The outcome of each of those audits is summarized here in an effort to highlight issues that may need attention as you consider courses, workshops, and conferences to satisfy the continuing education requirements for renewal of your certificate or license.

The results from the Association of Social Work Board's (ASWB) 2010 Audit of 247 individuals indicated 213 satisfactory submissions and 34 failed or non-compliant audit outcomes. Of the non-compliant outcomes, 12 individuals made no attempt to respond to the audit necessitating further action by the Board's Administrative office. In at least two (2) cases, the social worker reports never receiving the audit notice because of a change of address and has subsequently complied resulting in a satisfactory audit outcome. The remaining non-compliant audits require additional coursework during the 2010-2012 renewal cycle.

The results from ASWB's audit of the 2011 Renewals included a total of 183 individuals. Of those individuals, ASWB reported 158 satisfactory submissions and 25 failed or non-compliant audit outcomes. Of the non-compliant outcomes, 3 individuals made no attempt to respond to the initial audit necessitating further action by the Board's Administrative office. As with the 2010 CE Audit, at least two of the individuals reported never receiving the audit notice because of a change of address and subsequently complied; however, the third individual did not satisfactorily respond to the audit request and further action is

pending. Several of the remaining non-compliant audits submitted additional documentation resulting in a favorable audit but 15 individuals failed the audit and require additional coursework during the current renewal cycle to be eligible for renewal in 2013.

*Social Workers are reminded that the Board has authority to take action against a certificate or license for failure to comply with a continuing education audit and therefore should make every effort to respond to requests for information and documentation.*

A couple of noteworthy concerns came from review of the non-compliant audits and give cause for the following reminders:

- CE requirements specify **contact hours** (hours of instruction) not the CEUs (units) awarded.
- Credit cannot be given for duplicate training events during the same renewal cycle. In other words, the same course taken on two different occasions will only be acceptable as a one-time credit during a single renewal period.
- CE Activities must occur during the renewal cycle (the certification/licensure period) and excess hours may not carry over to the next renewal.
- Preparation and research undertaken to prepare for teaching or facilitating a course is not considered an acceptable CE activity.
- CE credit is not given for leading/teaching a course.
- Self care courses are an important part of maintaining balance but, under the current regulations, they are not acceptable as meeting the standard for continuing education designed for enhancing and improving professional competence.

The 2012 Continuing Education Audit has been underway since September 2012. As a reminder, the Board's annual audit, conducted by the Association of Social Work Boards (ASWB) will review the continuing education activities submitted by a sample of social workers (approximately 220 this year) selected at random who renewed their certificate or license in 2012. ASWB will contact those individuals selected requesting they submit proof of attendance and completion of the continuing education activities submitted for renewal of their credential. ASWB's review is generally completed by March and sent back to the Board for further review of non-compliant outcomes.

Social workers are required by regulation to maintain records adequate to provide proper diagnosis and treatment; but they are also required to maintain records adequate to fulfill other professional responsibilities. Maintaining ones occupational certification/licensure through biennial renewal requires participation in ongoing continuing education to maintain professional competence; and these continuing education activities are reported on the Renewal Affidavit which is subject to audit. As the audit requires evidence of participation in continuing education activities, it is imperative that social workers retain a copy of their Renewal Affidavit submitted to the Board and their certificate of attendance or CE certificate as proof of training.

ASWB provides a repository for social workers' credential information. This is a fee based service but may be useful for social workers interested in securing a place to retain information related to their professional credential (i.e. identity, education, examination results, licensing history, professional references, professional training certificates, etc.) The **ASWB Social Work Registry** also serves as a verification source for some social work licensing boards. For information and costs associated with this service, please visit the ASWB website at [www.aswb.org](http://www.aswb.org) or contact the SWR staff at 1-866-825-9580. ❖

**North American**

## Pass Rates for the ASWB Examinations 2011

<b>Exam Category and Group Type</b>	<b>Total Number of Examinations</b>	<b>Number Passed</b>	<b>Percentage Passed</b>
<b>Associate</b>			
First-Time	91	69	75.8
Repeat Group	11	4	36.4
Total Group	102	73	71.6
<b>Bachelors</b>			
First-Time	3,115	2,434	78.1
Repeat Group	680	257	37.8
Total Group	3,795	2,691	70.9
<b>Masters</b>			
First-Time	11,146	9,239	82.9
Repeat Group	3,923	1,600	40.8
Total Group	15,069	10,839	71.9
<b>Advanced Generalist</b>			
First-Time	618	299	48.4
Repeat Group	113	28	24.8
Total Group	731	327	44.7
<b>Clinical</b>			
First-Time	8,976	7,007	78.1
Repeat Group	3,539	1,297	36.6
Total Group	12,515	8,304	66.4

**North Carolina**

## Pass Rates for the ASWB Examinations 2011

<b>Exam Category and Group Type</b>	<b>Total Number of Examinations</b>	<b>Number Passed</b>	<b>Percentage Passed</b>
<b>Associate</b>			
First-Time			
Repeat Group	0	NA	NA
Total Group			
<b>Bachelors</b>			
First-Time	3	1	33.3
Repeat Group	2	0	0.0
Total Group	5	1	20.0
<b>Masters</b>			
First-Time	8	7	87.5
Repeat Group	1	0	0.0
Total Group	9	7	77.8
<b>Advanced Generalist</b>			
First-Time			
Repeat Group	0	NA	NA
Total Group			
<b>Clinical</b>			
First-Time	599	395	65.9
Repeat Group	284	100	35.2
Total Group	883	495	56.1

## Current Disciplinary Action

[Last updated 11/8/12]

The North Carolina Social Work Certification and Licensure Board took action in 1998 to publish the names of social workers against whom complaints have been made and substantiated. This action was taken to provide protection to the public. Since the publication of the winter 1999 edition of *Update*, the following list of social workers has been reported to the Public Protection Database (PPD), [formerly D.A.R.S. (Disciplinary Action Reporting System)] and the National Practitioners Data Bank. For information regarding disciplinary action prior to the above date, or for public record information regarding any disciplinary action, please contact the Board office directly.

Individuals who have been disciplined but who complied with Board mandates and have had their credential restored to good standing will be removed from this list. The discipline action remains in their history and certification/license search will reveal *that the credential has been disciplined*.

<b>Allele, Teresa</b>	P004344	<b>CENSURED</b>	1/2010
<b>Applewhite, Tracey Coale</b>	P003029	<b>REVOKED</b>	3/14/2008
<b>Bartley, Heather</b>	C005891	<b>SUSPENSION</b>	8/6/2010
<b>Beach, Amy</b>	P003988	<b>REVOKED</b>	/9/2012
<b>Bertrand, Anne</b>	C003149	<b>RESTRICTION OF SUPERVISION</b>	11/2/2012
<b>Blue, Carl E.</b>	C001182	<b>REVOKED</b>	3/13/2009
<b>Bosey, Barbara</b>	C001771	<b>PROBATION</b>	2/3/2012
<b>[Boudrais] Smith, Sherry A.</b>	C006953	<b>PROBATION</b>	9/10/2010
<b>Burd, Dorothy</b>	C002430	<b>VOLUNTARY SURRENDER</b>	3/12/2010
<b>Burd, John</b>	C003209	<b>VOLUNTARY SURRENDER</b>	3/12/2010
<b>Chiappone, Michael</b>	C005989	<b>SUSPENSION</b>	4/12/2010
<b>Clemons, Jr., Samuel D.</b>	C000799	<b>REVOKED</b>	8/12/2005
<b>Crawford, Melanie B</b>	C004537	<b>REPRIMAND</b>	5/1/2009
<b>Deese, Dalton W.</b>	P002248	<b>REVOKED</b>	1/6/2004
<b>DeLauney, Katz</b>	C004169	<b>SUSPENDED</b>	4/13/2007
<b>DeLauney, Katz</b>	C004169	<b>REVOKED</b>	4/3/2009
<b>Eberhardt, Mark</b>	P005757	<b>PROBATION</b>	6/4/2010
<b>Edwards, Kobie Nia</b>	P004624	<b>PROBATION</b>	6/13/2008
<b>Ellis II, Duke E.</b>	C001816	<b>SUSPENDED</b>	7/1/2011
<b>Eubanks, Jane R</b>	C004104	<b>REVOKED</b>	7/16/2004
<b>Fontana , Anastasia D.</b>	B000624	<b>REPRIMAND</b>	10/2/2009
<b>Foss, Kelly Ann</b>	C003068	<b>SUSPENDED</b>	1/10/2003
<b>Foushee, Nancy G.</b>	C001404	<b>REVOKED</b>	3/14/2008
<b>Gilkesson, Reginald</b>	P003996	<b>Failure to Meet Licensing Board Requirements</b>	8/3/2012
<b>Garis, Richard Douglas</b>	C001939	<b>REVOKED</b>	3/4/2005
<b>Gomez, Ruben</b>	Applicant	<b>REPRIMAND</b>	4/1/2011
<b>Hager, Scott</b>	C003706	<b>SUSPENDED</b>	12/12/2003
<b>Hammond, Theresa</b>	P002936	<b>REVOKED</b>	7/9/2007
<b>Harper, Lisa Uranga</b>	C004053	<b>REVOKED</b>	6/20/2005
<b>Harris, Alonda J.</b>	P006085	<b>PROBATION</b>	9/10/2010
<b>Harris, Jr., Aubrey Russell</b>	C000703	<b>SUSPENDED</b>	12/10/2004
<b>Harris, Jr., Aubrey Russell</b>	C000703	<b>REVOKED</b>	2/12/2010
<b>Harris, Mistique</b>	Unlicensed	<b>CONSENT JUDGMENT</b>	7/21/2009
<b>Hart, Marisha J.</b>	C004141	<b>REVOKED</b>	11/2/2012
<b>Hiller-Tyree, Loretta</b>	C000709	<b>PROBATION</b>	9/15/2006
<b>Hoffler, Jr., Thomas L.</b>	C000519	<b>SUSPENDED</b>	12/10/2004
<b>Hoffler, Jr., Thomas L.</b>	C000519	<b>REVOKED</b>	11/3/2006
<b>Holderread, Stephanie</b>	C006363	<b>CENSURED</b>	9/27/2012
<b>Howes, Christina</b>	C004430	<b>REPRIMAND</b>	4/1/2011

Jackson, Thomas	P006086	PROBATION	9/10/2010
Johnson, Denita	P004489	REVOKED	12/30/2011
Kali, Kathleen	P003074	REVOKED	12/1/2006
King, Robert L.	C002659	SURRENDERED	12/18/2010
Koehne, Patrick	C000447	SUSPENDED	12/22/2006
Koehne, Patrick	C000447	SUSPENSION CONTINUED	11/2/2007
Knodel, Justin	C006230	REPRIMAND	12/22/2011
Konell, Alan	C000720	CENSURED	10/22/2001
Leadem, Timothy	P003216	VOLUNTARY SURRENDER	10/5/2007
Lombard, Frank	C003133	REVOKED	7/9/2010
LoPresti, Dawn	P004855	STAYED SUSPENSION/PROBATION	10/10/2008
Lovelace, Darryl	C005014	REVOKED	9/7/2007
Lucero Flood, Connie	P004191	REPRIMAND	3/11/2011
Manes, Harry	C000612	REVOKED	5/6/2011
Maxey, Larry	C007361	VOLUNTARY SURRENDER	3/23/2012
Martin, Lea	C000119	SUSPENDED	5/25/2005
Martin, Lea	C000119	REVOKED	1/12/2008
Masters, Cary J.	P002928	REPRIMAND/SUSPENDED	10/6/2006
McDuffie, Emily E.	A000447	REVOKED	8/4/2006
Merrill, Rebecca	C002485	CENSURE	2/25/2000
Merrill-May, Rebecca	C002485	CENSURE	2/25/2000
Murray, Theodore	P005617	PROBATION	2/12/2010
Parks, Lachanda	P002671	REVOKED	5/4/2012
Pedersen, Ernest N.	C000342	VOLUNTARY SURRENDER	10/10/2008
Pittman, Susan	C004895	REVOKED	5/4/2012
Purcell, Nora	C004891	REPRIMAND/SUSPENDED	12/1/2006
Purcell, Nora	C004891	Failure to comply with Board Order	10/10/2008
Riffe, Beth	P004399	REPRIMAND	7/9/2010
Rosner, Karen M.	P002275	SUSPENDED	11/14/2002
Ruiz, Peter Alan	C001830	REVOKED	6/17/2002
Seals, Thomas	P004066	VOLUNTARY SURRENDER	7/11/2008
Sharpe, Liza J.	P002698	REVOKED	8/7/2009
Smith [Boudrais], Sherry A.	C006953	PROBATION	9/10/2010
Steele, Jr., John	C002447	REPRIMAND	12/4/2009
Sweeting, Lucy G.	C001530	SUSPENDED	12/12/2003
(Tate) Martin, Lea Almond	C000119	SUSPENDED	5/25/2005
(Tate) Martin, Lea Almond	C000119	REVOKED	1/12/2008
Taylor, Paul D.	P004718	REVOKED	9/7/2012
Taylor, Wesley E.	C003643	REPRIMAND	3/2/2006
VanBuskirk, Priscilla A.	P003177	REVOKED	11/2/2006
Wampler, Timothy Paul	C003113	SUSPENDED	10/10/2012
Watson, Madeline J.	C003680	REVOKED	12/10/2007
Weston, Steve	C003442	REPRIMAND	9/7/2012
Whealton, Jr., Bruce	C002485	REVOKED	6/14/2001
Whitley, Barbara J.	C001450	PROBATION	11/2/2012
Wilson, LaVe T	P004187	PRACTICING WITHOUT A VALID LICENSE	11/5/2010
Woolard, June	C001873	REVOKED	4/13/2012
Wuthrich, Heather	C003798	VOLUNTARY SURRENDER	8/3/2012
Zelno, Andrew	C003649	REVOKED	12/4/2009

