
UPDATE

North Carolina Social Work Certification and Licensure Board

SPRING, 2007

MESSAGE FROM THE CHAIR

William E. Lamb, MSW, CMSW



William E. Lamb, MSW, CMSW

A group representing the NC Social Work Certification and Licensing Board, NASW-NC and the NC Clinical Society has been meeting over the past year to consider possible changes to the social work law in an effort to ensure public protection and maintain standards for social work practice in North Carolina. The three groups are "proposing" a number of changes to be presented to the legislature. Here is a summary of the proposed changes. Practitioners are reminded that these changes are **NOT CURRENTLY IN EFFECT**; they are in draft form for consideration, may undergo some changes as legislation is introduced, and there will be time for public comment before legislation or rule changes are passed.

- The Provisional Licensed Clinical Social Worker (PLCSW) credential will be identified

by definition as a provision under the LCSW license for clarification.

- To ensure competent clinical practice, it is proposed that provisional licensees must pass the clinical level exam required by the Board for renewal of the provisional license.
- Information regarding disposition of records is provided, proposing that social workers keep records for a minimum of 10 years.
- A requirement for public display of professional licensure is proposed.
- Removal of all exemptions, except for students, from the mandate for clinical licensure before engaging in clinical social work practice.

Please note that as bills are introduced in the general assembly you can look at the specific language and track changes from the general assembly's website at <http://www.ncga.state.nc.us/>. We will attempt to provide links as we become aware of bills but for those of you interested in these issues, you should also stay connected with your other professional groups. In addition to these proposed statutory changes, the Board is considering a number of regulatory changes. These proposed changes have not yet been finalized, but will be posted on the NC Social Work Certification and Licensing Board Website as they are developed.

My thanks goes to the members of the committee who put in all their time and effort to think through these changes. They were Kathy Boyd, MSW, CMSW.

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NCSWCLB MEMBERS

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

ETHICS IN SOCIAL WORK PRACTICE

RICHARD D. FERRISS, MSW, LCSW, CSWM, ETHICS DIRECTOR

Supervision:

One of our profession's greatest educational assets is our use of clinical supervision to foster professional development. The Board appreciates and thanks those who provide supervision to their colleagues. We are also fortunate in North Carolina in that NASW-NC offers training that addresses many of the aspects and expectations of supervision.

From the regulatory perspective, there are two instances when the Board becomes involved in supervision. The first is the requirement for the supervision of provisional licensees. The second is when, as the result of an ethics complaint, a social worker is found to be in need of supervision of his or her practice to remediate specific deficiencies.

A question some supervisors have is: "What is my liability for my supervisee's practice?" The short answer is that the supervisor shares a degree of liability for the supervisee's actions. The degree of liability will depend on the specifics of the situation. Here are some observations gleaned from the Board's experience.

All professional relationships are guided by the assumption of competence. Whether one's relationship is one of clinician to client, or supervisor to supervisee, there are common elements. First, the nature of the relationship should be mutually and clearly understood. The supervisor is in the superior position, and as such, holds greater responsibility for defining and directing the process. A supervisory contract is a useful tool to define expectations. This can reference the performance expectations of both parties and circumstances by which the relationship is terminated. Second, the supervisor should be alert to the context of the supervision and the abilities of the supervisee, so that the supervisor can assist the supervisee in identifying and addressing the supervisee's goals and needs. Two areas to watch for are competence and boundaries. Third, as with a therapist-client relationship, the supervisor should maintain adequately detailed documentation. Contemporaneous documentation is a useful means of assessing the effectiveness of ongoing supervision and to later substantiate the content, should the content or quality of the supervision be questioned.

If the supervisor becomes aware of difficulties, these should be documented along with the associated interventions and

their success. As with any professional function, professional, documented, peer consultation should be considered if difficulties arise.

Ethics Continuing Education:

The continuing education requirement for ethics is now four hours per renewal cycle. It is intended that this continuing education be "... focused on ethics related to social work practice and ethical decision-making." This education must be unambiguously identifiable as ethics training. This rising expectation is consistent with the increased awareness of the importance of ethical practice within our profession, and also reflects the more general national trend to define and enforce ethical standards for those in positions of authority.

From the Board's perspective, ethical practice is grounded in our statutes and rules (available on line or by request). In addition to formal training, the Board recommends that LCSW's consider forming or joining a peer supervision group in which ethical concerns can be explored.

Practice Tip:

The Board continues to receive complaints in which the social worker is accused of unethical practice because of services he or she is providing to a minor, and the parents/custodians are separated and have conflicting expectations. If you provide therapy to a minor under these circumstances, consider obtaining a copy of the custodial agreement and verify (with legal consultation if needed) the rights and involvement of those concerned.

If there are ethical issues you would like to see addressed in future Board newsletters, please write the Board with these suggestions. ❖

(Continued from front page)

MESSAGE FROM THE CHAIR

NASW-NC Executive Director; Jack Register, MSW, LCSW, NASW-NC Director of Advocacy and Legislation; Jan Cheek, MSW, LCSW, private practice; Jacalyn A. Claes, Ph.D., MSW, LCSW, former NCSWCLB member and former Chair; Drew Pledger, MSW, LCSW, NCSCSW President; Bill Lamb, MSW, CMSW, NCSWCLB Chair; and Micki Lilly, MSHE, NCSWCLB Executive Director. ❖

BOARD MEMBERS AND STAFF "RETREAT" TO LOOK AHEAD

MICKI LILLY, EXECUTIVE DIRECTOR

The theme of the Board's business retreat in January was "How Are We Doing, and Where Do We Go from Here." Board members discussed areas of concern as well as needs in defining their annual goals. Board Counsel, Jack Nichols, of Allen and Pinnix, P.A. presented two training sessions: "Conducting an Administrative Hearing," and "The State Government Ethics Act: Statement of Economic Interest."

Staff administrators also met to discuss and update administrative procedures and policies. And, as a part of the open meeting, time was designated to explore issues impacting the profession that may need regulatory attention.

Invited guests, Drew Pledger (North Carolina Society for Clinical Social Workers); Jay Burrus (Director, Dare County DSS); and Jack Register (NASW-NC) participated in a discussion of how mental health reform and the implementation of the Medicaid new service definitions are impacting practitioners in the area social service programs and in particular, provisional licensees.

Board members revisited their **Annual Goals** which were discussed and refined to include the following:

- **New Location:** A number of changes have taken place since the beginning of the fiscal year. In August, the Board's administrative office relocated to a larger facility at 1207 S. Cox Street, Suite F, in Asheboro, NC, although *the Board's phone, fax and mailing address remain unchanged.* The new property satisfies the need for increased space to maintain records, and a conference room to accommodate the Board's monthly meetings. In addition, new licensing software is being developed and implemented to keep up with advances in technology needed for electronic processing of information.
 - **Proposed Legislation:** The Board has been working in unison with representatives from the North Carolina Chapter of NASW and the North Carolina Society for Clinical Social Workers, along with representation from the public and private social work arenas, as well as representatives from other health care regulatory boards to discuss areas of common interest, and to propose legislation that would promote public protection and a maintain professional standards. Please refer to the cover article, "Message From the Chair," for information that summarizes the proposed
- legislation moving forward. Efforts continue to be underway to address regulatory changes needed.
- **Supervisor Manual:** As part of a joint effort with NASW-NC to train prospective clinical social work supervisors, the Board has put together a Supervisor Manual which will be made available on the Board's website at www.ncswboard.org and upon written request. This manual provides information to assist provisional licensees and their clinical supervisors in understanding the Board's expectations and regulatory requirements for individuals licensed at the P-LCSW level. It also includes instructions for completing the P-LCSW Six-Month Review and sample case summaries.
- Though not required by regulation, the manual includes sample supervisory contracts and a supervisory log to encourage individuals to think about professional responsibility in supervision.
- **Educating Professionals about the Ethics Process:** The Board is keenly aware that matters of complaint and investigations into complaints against certified or licensed practitioners arouse significant anxiety. In an effort to provide social workers with a better understanding of what happens when the Board receives a complaint, an information sheet has been prepared and made available to the professional associations and, upon request, to individuals. It is the Board's expectation that this information will assist individuals in understanding what options are available to them as part of the ethics investigative process.
 - **Statistical Reviews:** Board members expressed interest in reviewing statistical information on two areas of activity regulated by the Board—ethics activity and examination records for provisional licensees. A review will be conducted in both areas to determine the percentage of active credentials currently under investigation. Information will also be gathered to determine the percentage of current credentials against which action has been taken by the Board, how many of those have received disciplinary action, and a statistical analysis of the violation type. In addition, the administrative staff will begin collecting information on the examination patterns of the provisional licensees.

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RESOLVING ETHICS COMPLAINTS

The Role and Responsibility of the N.C. Social Work Certification and Licensure Board

RICHARD D. FERRISS, MSW, LCSW, CSWM, ETHICS DIRECTOR

One of the roles of the North Carolina Social Work Certification and Licensure Board is to protect the public by resolving allegations of unethical practice by those under its jurisdiction. This is a regulatory function that differs from that of public advocacy groups or professional associations. The Ethics Director, Richard Ferriss, MSW, LCSW, CSWM, is available at any time to address or clarify any procedural questions or concerns you may have. He may be reached at this toll-free number: (866) 397-5263.

The Board acknowledges that involvement in an ethics matter is time consuming and stressful. Every effort is made to expedite the resolution. The time needed to resolve a complaint depends upon its unique characteristics. A complex matter may take over a year to resolve, while a simple matter may take several months. Disciplinary procedures are conducted under Chapter 150B of the North Carolina General Statutes (G.S. § 150B). The social worker may elect to retain counsel at any time in this process, at his or her expense.

Procedures:

- When the Board receives a complaint, it determines if the complaint is “valid”. (If true, is it a violation of the NC Social Worker Certification and Licensure Act?) The Board may initiate a complaint when it becomes aware of a possible ethical violation.
- Next, the Board notifies the social worker against whom the complaint was filed. Usually the social worker is sent a copy of the complaint and its supporting documentation. If this is contraindicated, the social worker will be notified of the complaint, noting the allegations and ethical standards brought into question.
- After the social worker’s response is received, a committee of the Board evaluates the merits of the complaint.
- When verification or acquisition of information is required, the Board may initiate an investigation. For example, a staff member, Board counsel, or an investigator, acting on behalf of the Board may interview witnesses or obtain documentation, such as clinical records, personnel files, or legal documents. All investigators are Licensed Clinical Social Workers with investigative training.
- If there is evidence of poor or unethical practice, a subcommittee including two members of the Board may be assigned to attempt to resolve the matter.

Possible outcomes:

Note: the social worker and complainant are notified in writing of the outcome.

- 1) Unsubstantiated. The complaint will be closed if the Board does not find sufficient evidence to proceed with the complaint. No record of this matter is made available to the public.
- 2) Unsubstantiated, but practice concerns noted. When there is evidence of poor practice that does not rise to the level of a violation, the Board may issue a Letter of Concern. The complaint is closed as above and a confidential letter is issued to the social worker noting the areas of poor practice, with suggestions for improvement. No record of this matter is made available to the public.

Dispositions 1 & 2 have no effect on the certification or licensure of the social worker.

- 3) If significant professional concerns are identified, the Board may offer to resolve this matter by entering into a consent order with the social worker. A consent order is a public, voluntary agreement (order) between the social worker and the Board. It will specify the facts of the matter, findings, and disposition. It may or may not find a violation of the NC Social Worker Certification and Licensure Act, and may or may not discipline the social worker.
- 4) If needed, this matter will go to hearing before the Board (minus the subcommittee members, if any), and the social worker and complainant will be sent a Notice of Hearing. If the complainant is needed as a witness, Board’s counsel will contact the complainant. Hearings are conducted as prescribed by G.S. §150B-40.

Orders and Consent Orders are public record documents.

All disciplinary actions are a matter of public record and are published on the Board’s website and in the Board’s newsletter.

Pursuant to North Carolina Administrative Code (21 N.C.A.C 63.0609) all disciplinary actions are also reported to the Disciplinary Action Reporting System (DARS) and to the National Practitioner Data Bank-Healthcare Integrity Protection Data Bank (NPDB-HIPDB). ❖

RECERTIFICATION-RENEWAL REMINDER

Recertification Affidavits for renewal of a certificate or license that expire June 30, 2007 were sent out from the Board office early in April. If you have not received your notice and your certification/licensure is due to expire on 6/30/07, you may download the Recertification Affidavit from the Board's website at www.ncswboard.org.

Remember:

- Four (4) hours of the required forty (40) hours of continuing education needed for renewal must be continuing education focused on ethics related to social work practice and ethical decision making.
- The Recertification Affidavit for renewal of your certification/license must be received in the Board office before the expiration date of 6/30/07 to avoid late fees.
- Failure to renew beyond 60 days will result in *automatic suspension* for failure to renew and will require application for reinstatement. **Reinstatement requires that you satisfy current requirements with no provision for exemptions.**
- You are required by regulation to notify the Board office in writing of any change in employment, home or work address, and phone numbers. A form for submitting such changes is available on the website under the Printable Forms Link.

Certificates should not be attached to the recertification affidavit; however, the Board reserves the right to request documentation/verification of continuing education for renewal and/or audit purposes. It is recommended that social workers keep documentation of all continuing education courses completed for at least a two-year period following renewal of your certification/license.

Self-Directed Learning Projects for Continuing Education Credit

The N.C. Social Work Certification and Licensure Board **does not pre-approve attended** trainings. Instead, the Board offers guidelines for Continuing Education requirements under the N.C. Administrative Code, Section .0401, available for viewing on the Board's website at www.ncswclb.org. However, the Board **does require pre-approval for self-directed learning** activities.

What is a Self-Directed Learning Project (SDLP)? The Board considers online courses, home-study courses, independent readings/research, etc., to be self-directed learning activities, and as such, requires specific approval from this Board prior to beginning such activity. This Board accepts as equivalent approval, online and home-study courses approved by the Association of Social Work Boards' Approved Continuing Education Committee (ASWB-ACE) and the North Carolina Chapter of the National Association of Social Workers (NASW-NC). Equivalent approval has not been given for online and home-study courses offered or sponsored by the National Association of Social Workers at this time. Courses offered by either of these two organizations (ASWB-ACE and NASW-NC), or by providers approved by either of these two organizations **do not** require pre-approval by this Board. It is imperative however, that at the time of renewal, you report the title of the course, the name of the approved provider, and the approval organization for all self-directed learning activities.

Please be reminded that a maximum of 20 hours (half) of the required 40 contact hours of continuing education per two-year renewal cycle may be obtained through self-directed learning projects (SDLP). You can find all ASWB-ACE Providers listed on the ASWB website at www.ASWB.org and NASW-NC approved courses through their website at www.naswnc.org. To submit an online or home-study course not provided and approved by one of these organizations, for approval by this Board, please refer to the Board's website under the Continuing Education link to download the SDLP Request Form. ❖

Continuing Education Audit Underway

The Board is completing the annual continuing education audit for the June 2006 renewals. A random sampling of 260 Recertification Affidavits was selected for this audit and individuals were originally notified in February. A preliminary review has been completed and follow-up notices have been sent to individuals needing to provide additional information. Regrettably, there have been approximately 20 individuals who have not responded to the Board's request for verification of continuing education. Please be advised that all information must be received in the Board office no later than May 15, 2007 to avoid further action by the Board.

FORMING A PROFESSIONAL CORPORATION OR PROFESSIONAL LIMITED LIABILITY COMPANY

MICKI LILLY, MSHE, EXECUTIVE DIRECTOR

MARY SHUPING, ATTORNEY WITH ALLEN AND PINNIX, P.A.

INTRODUCTION.

In order to ensure compliance with the laws governing professional corporations and professional limited liability companies, the North Carolina Social Work Certification and Licensure Board (“the Board”) has reviewed and revised our procedures for issuing Certificates of Registration for licensed clinical social workers (“LCSW’s”) and provisional licensed clinical social workers (“PLCSW’s”) who wish to form a professional corporation or a professional limited liability company. This article is intended to provide information and clarification to LCSW’s and PLCSW’s who have formed, or who wish to form, a professional corporation (“PC”) or a professional limited liability company (“PLLC”).

Professional corporations and professional limited liability companies may render professional services only through licensees. By law, only licensed clinical social workers and provisional licensed clinical social workers may render professional services in professional corporations or professional limited liability companies. Therefore, persons who are certified social workers are not permitted to form PC’s or PLLC’s.

In addition, it is important to note that the Professional Corporation Act and the Limited Liability Company Act are not licensing statutes. These laws simply allow certain professions to form certain types of business entities. These statutes specifically state that PC’s and PLLC’s are subject to all laws and rules governing persons licensed by the Board.

The law governing PC’s and PLLC’s is complicated. **The Board cannot offer legal advice or opinions on any particular filing. Therefore, you may wish to consult with an attorney and/or an accountant during this process.**

OVERVIEW

- Before submitting your paperwork (Articles of Incorporation or Articles of Organization) to the Secretary of State’s office, apply for and receive a Certificate of Registration from the Social Work Certification and Licensure Board.
- Persons wishing to form PC’s or PLLC’s comprised of multiple professions must obtain Certificates of Registration from each professional licensing board.

- The Certificate of Registration must be renewed annually.

INITIAL CERTIFICATES OF REGISTRATION

WHO CAN APPLY?

- **LCSW’s & PLCSW’s.** As stated previously, only LCSW’s or PLCSW’s are permitted to form professional corporations or professional limited liability companies.

Also, please note that PLCSW’s, unlike LCSW’s, are required to practice under the supervision of an LCSW and have immediate access to clinical consultation in the event of an emergency. Therefore, even though PLCSW’s are permitted to form or be a part of PC’s or PLLC’s, all Board rules governing PLCSW’s still apply, including those requiring supervision. Furthermore, to ensure compliance with rules related to provisional licensure, the Board requires PLCSW’s to obtain specific *written* approval prior to engaging in practice outside the structure of a public agency setting (agency operated by the State or local government). Information and documents needed for seeking Board approval can be downloaded from the Board’s website at www.ncswboard.org. The Board strongly discourages private practice for provisional licensees and views the provisional licensure period as a time of continued professional learning and training which is highly directed and supervised. All applications from PLCSW’s will be scrutinized to ensure compliance with Board statutes and rules.

- **LCSW’s/PLCSW’s & Other Professionals.** In addition, the law also allows a physician, *or* a licensed psychologist, *or* both, *and* a certified clinical specialist in psychiatric and mental health nursing, a licensed clinical social worker (including PLCSW’s), a licensed marriage and family therapist, a licensed professional counselor, *or* each of them, to render services which they are licensed to provide.

HOW DOES SOMEONE APPLY?

Before submitting paperwork to the Secretary of State’s office, incorporators or organizers must apply to the Board for a Certificate of Registration and pay the required

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FORMING A PC OR PLLC

application fee. Currently, the fee is \$15.00. The Board has developed an application form which can be found on the Board's website at www.ncswboard.org.

WHAT ARE THE REQUIREMENTS?

For professional corporations, at least one incorporator must be a licensee, all shares of stock must be owned by licensees, and at least one director and one officer must be a licensee. For PLLC's, at least one organizer must be a licensee, members must be licensees, and at least one director must be a licensee. In addition, these persons must be licensees in good standing. For purposes of PC's and PLLC's, a licensee in good standing is one whose license has not been suspended or revoked or for which there is no disciplinary action pending.

WHEN DOES THE BOARD ISSUE A CERTIFICATE OF REGISTRATION?

First, Board staff will make sure that the appropriate application (PC or PLLC) has been filed. The Board staff will also verify that all information has been provided and that the application is notarized. The Board will not issue a Certificate until all requested information has been provided and the application has been notarized.

After the application has been appropriately filed with the Board, the Board will then determine whether or not the proposed PC or PLLC is in compliance with the law. If the proposed PC or PLLC is found to be in compliance with the law, the Board will issue a Certificate of Registration. After receiving the Certificate, the incorporator or organizer may then proceed to file the appropriate paperwork with the Secretary of State's office. However, if the Board determines that the proposed PC or PLLC is not in compliance, the Board staff will notify the incorporator or organizer.

Note: The Board can only issue Certificates of Registration for its licensees. If a PC or PLLC is being formed between LCSW's/PLCSW's and other professionals, it is the responsibility of the incorporator or organizer to obtain Certificates of Registration from each of the appropriate licensing boards.

ANNUAL RENEWAL

WHEN ARE RENEWALS DUE AND WHAT IS REQUIRED FOR RENEWAL? Certificates of Registration remain effective until January 1. Persons seeking to renew a certificate must make application to the Board and pay the required fee.

The renewal application can be found on the Board's website at www.ncswboard.org. Currently, the renewal fee is \$10.00. The information required for renewal will generally be the same as what is required for issuance of an initial Certificate. The Board will ensure that the PC or PLLC is still in compliance with the law and that licensees remain in good standing.

WHAT IS THE CONSEQUENCE OF FAILURE TO RENEW?

The law provides that if a PC or PLLC fails to apply for renewal of its Certificate within 30 days after the Certificate's expiration, the Certificate is *automatically suspended*. Upon a failure to renew within the 30-day period, the Board will notify the PC or PLLC and the Secretary of State's office. A suspended Certificate may be reinstated in the calendar year upon proper application, payment of the fee, and payment of any applicable penalty.

SUSPENSION OR REVOCATIONS OF CERTIFICATES OF REGISTRATION.

The Board has the authority to suspend or revoke a Certificate under the following circumstances:

1. The PC or PLLC failed to promptly remove or discharge a person whose license has been suspended or revoked.
2. The PC or PLLC has failed to comply with the provisions of the Professional Corporation Act or the Limited Liability Corporation statutes governing PLLC's respectively.
3. The PC or PLLC failed to comply with rules of the Board.

CONCLUSION.

This article is intended to provide an overview of the role of the Board in issuing, renewing, revoking and suspending Certificates of Registration for professional corporations and professional limited liability corporations. It is *not* a comprehensive overview of the laws governing these types of entities. Licensees of the Board who wish to form PC's and PLLC's are responsible for understanding their duties under the appropriate statutes.

In addition, the Board is reviewing its administrative rules to determine whether rule changes are needed to provide clear guidelines to LCSW's and PLCSW's who wish to incorporate or form PLLC's. ❖

PLEASE ADVISE THE BOARD OFFICE OF ANY CHANGES IN NAME, ADDRESS, HOME AND WORK TELEPHONE NUMBERS AS SOON AS POSSIBLE!

NCSWCLB vs NASW-NC

Both this Board, the North Carolina Social Work Certification and Licensure Board (NCSWCLB), and the North Carolina Chapter of the National Association of Social Workers (NASW-NC) receive calls and inquiries from individuals confused about which organization they should be contacting regarding a particular matter, or misunderstand that the two organizations are distinctly separate with different focus and responsibility. From time to time, it is helpful to publish information that will assist in distinguishing the two organizations from each other. Here is a quick reference:

NCSWCLB

Regulatory body, appointed by the Governor
Protects the public by regulating social workers
Mandates licensure for clinical social work
Certifies BSW, MSW and SW Managers
Disciplines social workers
Establishes Rules & Regulations for practice
Authority & jurisdiction established by law

NASW-NC

Voluntary membership organization
Advocates for social work profession
Resource for social workers
Publishes a bi-monthly newsletter
Sponsors workshops and conferences
Offers a job bank
Lobbies for legislative changes

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BOARD MEMBERS AND STAFF “RETREAT”

- **Continuing Education Audit:**

The Board has undertaken the task of auditing the continuing education activity submitted during the 2006 renewal period. A random sample of the nearly 2500 renewal affidavits received was selected for audit and the initial audit review is nearly complete. Some individuals have already received notice that their material has been reviewed and approved, while others have received a follow-up letter requesting additional information.

This sampling was the largest ever audited by the Board and has proven to be quite time consuming. Upon completion of the audit, the Board will review the report from the auditor to determine what, if any, areas of concern need to be addressed.

- **Staffing and Clinical Reviews:**

As the volume of applications for certification and licensure increases, so do the staffing needs to meet administrative demands. The Board has contracted for review services in the past to look at clinical and administrative experiences submitted with initial applications for those individuals coming into North Carolina from other jurisdictions, as well as to review the clinical duties and case summaries submitted by provisional licensees. The Reviewers who have served the Board for the last several years have found that

prior commitments have limited their availability to the Board. In January, the Board contracted with two new clinical reviewers to fill this void and is confident that the backlog of clinical review work can be caught up and returned to a timely response of thirty days.

The Board and the administrative staff wishes to express their appreciation to all the Reviewers and to those of you who have been waiting patiently for a response to your submissions. ❖

NCSWCLB MEETING SCHEDULE

2007 Calendar Year

Friday, January 5-7 (Business Retreat Offsite)

Friday, February 2*

Friday, March 2

Friday, April 13*

Friday, May 4

Monday, June 11*

Monday, July 9

Friday, August 3

Friday, September 7

Friday, October 5

Friday, November 2

Friday, December 7

*Notes a change from previously published schedule

Pass/Fail Rates in North Carolina (NC) in 2006

Exam Category and Group Type	Total Number of Candidates	Pass Rate	
		Number	Percentage
Associate			
First Time			
Repeat Group			
Total Group			
Bachelors			
First Time	7	7	100.0
Repeat Group	0	0	0.0
Total Group	7	7	100.0
Masters			
First Time	8	7	87.5
Repeat Group	3	1	33.3
Total Group	11	8	72.7
Advanced Generalist			
First Time	0	0	0.0
Repeat Group	0	0	0.0
Total Group	0	0	0.0
Clinical			
First Time	298	215	72.1
Repeat Group	129	41	31.8
Total Group	427	256	60.0
TOTAL	445	271	60.9

National Pass/Fail Rates for the ASWB Examinations - 2006

Exam Category and Group Type	Total Number of Candidates	Pass Rate	
		Number	Percentage
Associate			
First Time	173	127	73.4
Repeat Group	49	18	36.7
Total Group	222	145	65.3
Bachelors			
First Time	3848	2981	77.5
Repeat Group	932	263	28.2
Total Group	4780	3244	67.9
Masters			
First Time	8767	6518	74.3
Repeat Group	3316	784	23.6
Total Group	12083	7302	60.4
Advanced Generalist			
First Time	178	94	52.8
Repeat Group	51	14	27.5
Total Group	229	108	47.2
Clinical			
First Time	7521	5533	73.6
Repeat Group	2898	904	31.2
Total Group	10419	6437	61.8
TOTAL	27,733	17,236	62.1

Current Disciplinary Action

Bartlett, Jody – C002309 – **CENSURED/PROBATION** 10/06/06
Bryant, Pier A. – C003144 – **REPRIMAND** 10/06/06
Bussey, Gina Yvette – P002013 – **REPREMAND** 05/05/06
Cagle, Stan C. – C000796 – **SUSPENDED** 08/05/04
Claxton, Pamela C. – B000556 – **REPRIMAND** 08/04/06
Ciemons, Jr., Samuel D. – C000799 – **REVOKED** 08/12/05
Deese, Dalton W. – P002248 – **REVOKED** 01/06/04
DeLauney, Katz – C004169 – **SUSPENDED** 04/13/07
Eubanks, Jane R. – C004104 – **REVOKED** 07/16/04
Foss, Kelly Ann – C003068 – **SUSPENDED** 01/10/03
Garis, Richard Douglas – C001939 – **REVOKED** 03/04/05
Gould, David R. – C000416 – **SUSPENDED** 12/12/03
Hager, Scott – C003706 – **SUSPENDED** 12/12/03
Harper, Lisa Uranga – C004053 – **REVOKED** 06/20/05
Harris, Jr., Aubrey Russell – C000703 – **SUSPENDED** 12/10/04
Hiller-Tyree, Loretta – C000709 – **PROBATION** 09/15/06
Hoffler, Jr., Thomas L. – C000519 – **REVOKED** 11/03/06

Kali, Kathleen – P003074 – **REVOKED** 12/01/06
Knox, Walter E. – C002927 – **REPRIMAND** 10/06/06
Koehne, Patrick – C000447 – **SUSPENDED** 12/25/06
Konnell, Alan – C000720 – **CENSURED** 10/22/01
Masters, Cary J. – P002928 – **REPRIMAND/SUSPENDED** 10/06/06
McDuffie, Emily E. – A000447 – **REVOKED** 08/04/06
Merrill, Rebecca – C002485 – **CENSURE** 02/25/00
Purcell, Nora – C004891 – **REPRIMAND/SUSPENDED** 12/01/06
Rosner, Karen M. – P002275 – **SUSPENDED** 11/14/02
Ruiz, Peter Alan – C001830 – **REVOKED** 06/17/02
Sweeting, Lucy G. – C001530 – **SUSPENDED** 12/12/03
(Tate) Martin, Lea Almond – C000119 – **SUSPENDED** 05/25/05
Taylor, Wesley E. – C003643 – **REPRIMAND** 03/02/06
VanBuskirk, Priscilla A. – P003177 – **REVOKED** 11/02/06
Waite, Thomas M. – C003627 – **REPRIMAND** 05/11/05
Whealton, Jr., Bruce – C002485 – **REVOKED** 06/14/01

