



UPDATE

North Carolina Social Work Certification and Licensure Board

SUMMER 2013

MISSION STATEMENT: The mission of the North Carolina Social Work Certification and Licensure Board is 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 in accordance with the Social Worker Certification and Licensure Act [N.C. Gen. Stat. 90B] and related Rules [N.C.A.C. Title 21, Chapter 63].

MESSAGE FROM THE CHAIR

Emily Simmons, MSW, CSWM, ACSW



Emily Simmons, MSW, CSWM, ACSW

The North Carolina Social Work Certification and Licensure Board meets eight times a year with seven of those being one-day encounters which are packed with hearings, operational issues and general business topics. Between those gatherings there are various small committee meetings which are task oriented and typically held by telephone conference calls to accomplish their work. None of these meetings allow us the time for an in-depth study and reflection of our overall purpose

and processes. In order to accomplish that, our eighth meeting is an annual three-day work retreat. The annual retreat gives us the time to assure that the mission (printed at the top of this newsletter) is being met, to assess our operations and to engage each other in an energized dialogue regarding the goals that will best accomplish our objectives. This year we met in Greensboro February 3-5, consciously focusing all of our efforts using the mission as our guiding principal.

As a member for almost five years, I've been continually impressed with the dedication and concern that the board members and staff have shown in carrying out their roles. That dedication was evident at the retreat. We were able to step back and explore what is working well and what needs improvement. We began with the study of a survey completed by all board and staff members prior to the retreat, and aimed at identifying areas of strengths and opportunities for improvement. We used this as a self-learning tool to improve our functioning individually and collectively.

— continued below —

NCSWCLB MEMBERS
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PROFESSIONAL MEMBER
2nd Term Expires: 06/30/14

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MSW, LCSW, LCAS
VICE-CHAIR
PROFESSIONAL MEMBER
1st Term Expires: 06/30/13

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MSW, LCSW
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PROFESSIONAL MEMBER
1st Term Expires: 06/30/14

MARY A. "GE" BROGDEN
MPA
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2nd Term Expires: 06/30/15

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MSW, ACSW, LCSW, DCSW,
CSWM
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1st Term Expires: 06/30/13

ALFRED BRYANT, JR.
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PATRICIA M. MORSE, PhD,
MSW, LCSW
PROFESSIONAL MEMBER
1st Term Expires: 06/30/14

NCSWCLB
PO BOX 1043
ASHEBORO, NC 27204

PHONE (336) 625-1679
TOLL FREE (800) 550-7009
ETHICS DIR. (866) 397-5263

FAX (336) 625-4246
E-MAIL ADDRESS
swboard@asheboro.com
Website: NCSWBOARD.ORG

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

Our next steps were to review our goals for the year, creating methods to accomplish those needing revision and analyzing ethics data as a step in budget and personnel planning. The review of goals helped us identify the many accomplishments of the past six months and helped focus our efforts for the remainder of the year. A few of the areas discussed in-depth were: the annual budget with attention to the more costly line items; methods to expedite the number of ethics cases in process; the LCSWA reporting/monitoring form; the method used for criminal background checks; continuing education for licensed/certified social workers; and the curriculum to be developed for Supervisor Expectation Training for social workers under board-required supervision. Along with this, we reviewed the ethics complaint process and status of all current ethics cases.

In summary, the retreat accomplished much in evaluating processes, team building and planning for the future in protecting the public, and promoting high standards of professional behavior. Our commitment is to emphasize the outcomes of the retreat as we move forward this year. I would like to end with a special thank you to our Executive Director Micki Lilly and our Ethics Director Richard Ferriss who were invaluable to the success of the retreat, and also to our other staff members—Janice Tarlton, Deidre Teague, Karen Garner and Barry Phillips—who support them and us daily through a multitude of duties. Thank you all so very much! ❖

Ethics Trends and Questions

Richard Ferriss, MSW, LCSW, CSWM, Ethics Director

This article follows a recent presentation that identified current trends in ethics complaints and general questions from social workers regarding the ethics complaint process. We hope that sharing this information will be of value.

Trends:

The Board classifies ethics complaints into seven general groups, or types. In practice there can be multiple concerns in any given complaint. In the numbers below, only the most prominent concern is listed.

The most common ethical issues the Board encounters:

- Clinical Practice (43%)
- Business Practices (25%)
- Boundaries—non-sexual and sexual (12%).
- Application/Credentialing/Compliance (10%)
- Documentation (5%)
- Impairment of any type (4%)
- Supervision (2%)

Of these, 27% were substantiated; the remainder were either unsubstantiated, had concerns that did not rise to the level of a violation, or could not be pursued—for example, the Board had no jurisdiction over the matter.

Ethics questions from licensees:

- *What is the role of the Board in ethics matters?*

The Board oversees social workers' adherence to the statutes and rules governing social work practice, to ensure public safety. This is done by accepting and resolving ethics complaints.

- *What is the ethics resolution process?*

Please see the Board's website under the "COMPLAINTS DISCIPLINARY ACTIONS" tab for more information. Briefly, the social worker is sent a copy of the complaint. The complaint and social worker's response are reviewed

by a subcommittee of the Board who is empowered to resolve the complaint. This could include investigation and subsequent Board action by Consent Order or Hearing if there is evidence to substantiate violations of the rules and statutes governing social work practice.

- *I want to file a complaint, but don't want to be involved.*

A complaint can only move forward when there is first-hand information regarding the allegations. Also, the Board can only protect from public disclosure the name of a client who has not consented to release of their name. Therefore, the complainant is almost always involved. The exception is when the complainant does not have first-hand information and identifies those who do.

- *A client may be initiating a complaint. What can I do? I want the Board to know about it. Can I send a statement/documentation?*

While a social worker can self-report an ethics violation, if the social worker has not violated the statutes or rules but thinks someone else will file a complaint, it is good practice to ensure that the social worker maintains accurate and sufficient documentation of what occurred, should a complaint be filed. Any later additions to the record should be clearly noted and dated as such.

- *Can someone with a past legal or mental health history be licensed?*

It will depend on the individual circumstances such as: what occurred, when it occurred, and if there is any impact on the applicant's ability to practice with reasonable skill and safety. The Board may require evaluation of the applicant to address these questions.

- *Does a social worker against whom a complaint has been filed need an attorney?*

This is an individual choice. Keep in mind that most complaints are unsubstantiated and most social workers do not obtain counsel. That said, if the social worker has legal questions or thinks counsel would be helpful, the social worker should explore that option.

- *What effect does an open complaint have on my license?*

An open complaint is not public record and does not affect your license.

- *Can a social worker whose license was surrendered or revoked return to practice?*

Unless prohibited by the terms of the surrender or revocation, a social worker can apply for a new license. The license history would be considered during the application process. ❖

NCSWCLB 2013 Meeting Schedule

The Board meets eight times during the year beginning at 9:30 a.m., 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.

Friday – February 1 - 3 (Board Business Retreat)
 Friday – March 8
 Friday – May 3 (convenes at 8:30 a.m.)
 Friday – June 7

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

The Board conducts an annual review of rules. Any proposed adoptions or amendments are posted on the Board's website for review and comment. Please visit the Board's website at www.ncswboard.org regularly to review any current rule proposals.

Annual Audit of Continuing Education

Micki Lilly, MSHE, Executive Director

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) reviews the continuing education activities submitted by a sample of social workers selected at random who renewed their certificate or license in 2012. ASWB has completed their review with the following outcome:

- Total CE Audits conducted: 219
- Audits cancelled or abandoned: 10
- Audits Failed: 13
- Audits Passed: 196

The Executive Director will review the failed and noncompliant audits for further action.

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 one's 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 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 or contact the SWR staff at 1-866-825-9580. ❖

TIME TO RENEW YOUR LICENSE/CERTIFICATE! ARE YOU PREPARED FOR AN AUDIT?

Except for associate licensees, whose expiration/renewal date will be two years from the month the license was issued, all credentials are issued for no more than two years and will expire and require renewal by June 30. Affidavits for renewal may be downloaded from the Board's website and mailed prior to your certification/licensure expiration date of June 30, 2013. Reminder notices were sent by postcard to the address of record as indicated on the Board's database.

REMINDER: Effective September 2005, the NC Administrative Code requires that social workers certified or licensed by the Board notify the Board of any changes to name, business and personal residence (including street and mailing address), as well as business and personal telephone numbers. This notice is to be received by the Board within 30 days from the effective date of the change.

Please keep a copy of your Renewal Affidavit and DO NOT attach certificates to your Recertification Affidavit when submitting for renewal unless required by Order of the Board or by administrative mandate resulting from a previous unsatisfactory CE Audit.

Each year, the Board's annual Continuing Education audit is conducted by the Association of Social Work Boards (ASWB), and you will be contacted if your 2013 Renewal Affidavit has been selected for audit. The audit is designed to review all continuing education activity submitted for renewal to ensure compliance with statutory and regulatory requirements. If you are notified that your renewal is selected for audit, you will be asked to provide ASWB with a copy of your Renewal Affidavit and verification of attendance and completion of all documented continuing education activity at that time. ❖

North American

Pass Rates for the ASWB Examinations 2012

Exam Category and Group Type	Total Number of Examinations	Number Passed	Percentage Passed
Associate			
First-Time	70	54	77.1
Repeat Group	14	5	35.7
Total Group	84	59	70.2
Bachelors			
First-Time	3,237	2,495	77.1
Repeat Group	690	258	37.4
Total Group	3,927	2,753	70.1
Masters			
First-Time	12,635	10,559	83.6
Repeat Group	3,911	1,370	35.0
Total Group	16,546	11,929	72.1
Advanced Generalist			
First-Time	150	95	63.3
Repeat Group	58	22	37.9
Total Group	208	117	56.3
Clinical			
First-Time	9,506	7,300	76.8
Repeat Group	3,865	1,568	40.6
Total Group	13,371	8,868	66.3

North Carolina

Pass Rates for the ASWB Examinations 2012

Exam Category and Group Type	Total Number of Examinations	Number Passed	Percentage Passed
Associate			
First-Time			
Repeat Group	0	NA	NA
Total Group			
Bachelors			
First-Time	10	7	70.0
Repeat Group	0	0	0.0
Total Group	10	7	70.0
Masters			
First-Time	12	10	83.3
Repeat Group	0	0	0.0
Total Group	12	10	83.3
Advanced Generalist			
First-Time	0	0	0
Repeat Group	0	0	0
Total Group	0	0	0
Clinical			
First-Time	619	401	64.8
Repeat Group	295	93	31.5
Total Group	914	494	54.0

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), 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. The following action definitions apply:

- **Reprimand**—a public rebuke and sanction by the Board for practice misconduct. A reprimand typically is given for less severe offenses and may require specific follow-up actions by the social worker.
- **Censure**—an act involving severe condemnation and a sanction by the Board for practice misconduct. Censuring is typically for severe offenses and may require specific follow-up actions by the social worker.
- **Probation**—a stay of revocation or suspension allowing limited practice within preconditions established by the Board. Violations of these conditions may result in revocation.
- **Suspension**—the withdrawal of privilege to practice for a specific period of time.
- **Revocation**—the withdrawal of privilege to practice as a certified or licensed social worker in the State of North Carolina.
- **Surrender**—the voluntary relinquishment of a certification or license by its holder. The surrender of a certification or license shall be accepted only by Consent Order with the Board.

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.

Abdoul-Shinte, Kenyatta	C003784	REVOKED	1/10/2013
Allele, Teresa	P004344	CENSURED	10/1/2010
Applewhite, Tracey Coale	P003029	REVOKED	3/14/2008
Bartley, Heather	C005891	SUSPENSION	8/6/2010
Beach, Amy	P003988	REVOKED	3/9/2012
Bertrand, Anne	C003149	RESTRICTION OF SUPERVISION	11/2/2012
Blue, Carl E.	C001182	REVOKED	3/13/2009
Bosey, Barbara	C001771	PROBATION	2/3/2012
Burd, Dorothy	C002430	VOLUNTARY SURRENDER	3/12/2010
Burd, John	C003209	VOLUNTARY SURRENDER	3/12/2010
Chiappone, Michael	C005989	SUSPENSION	4/12/2010
Clemons, Jr., Samuel D.	C000799	REVOKED	8/12/2005
Crawford, Melanie B	C004537	REPRIMAND	5/1/2009
Deese, Dalton W.	P002248	REVOKED	1/6/2004
DeLauney, Katz	C004169	SUSPENDED	4/13/2007
DeLauney, Katz	C004169	REVOKED	4/3/2009
Dent, Bradley N.	C002058	SUSPENSION	11/28/2012
Dent, Bradley N.	C002058	REVOKED	1/10/2013
Eberhardt, Mark	P005757	PROBATION	6/4/2010
Edwards, Kobie Nia	P004624	PROBATION	6/13/2008
Ellis II, Duke E.	C001816	SUSPENDED	7/1/2011
Eubanks, Jane R	C004104	REVOKED	7/16/2004
Fontana , Anastasia D.	B000624	REPRIMAND	10/2/2009
Foss, Kelly Ann	C003068	SUSPENDED	1/10/2003
Foushee, Nancy G.	C001404	REVOKED	3/14/2008
Garis, Richard Douglas	C001939	REVOKED	3/4/2005
Gilkesson, Reginald	P003996	Failure to Meet Licensing Board Requirements	8/3/2012
Gloege, Donald	C004703	STAYED SUSPENSION—PROBATION	4/5/2013
Gomez, Ruben	Applicant	REPRIMAND	4/1/2011
Hager, Scott	C003706	SUSPENDED	12/12/2003

————— *continued below* —————

Hammond, Theresa	P002936	REVOKED	7/9/2007
Harper, Lisa Uranga	C004053	REVOKED	6/20/2005
Harris, Jr., Aubrey Russell	C000703	SUSPENDED	12/10/2004
Harris, Jr., Aubrey Russell	C000703	REVOKED	2/12/2010
Harris, Mistique	Unlicensed	CONSENT JUDGMENT	7/21/2009
Hart, Marisha J.	C004141	REVOKED	11/2/2012
Hiller-Tyree, Loretta	C000709	PROBATION	9/15/2006
Hoffler, Jr., Thomas L.	C000519	SUSPENDED	12/10/2004
Hoffler, Jr., Thomas L.	C000519	REVOKED	11/3/2006
Holderread, Stephanie	C006363	CENSURED	9/27/2012
Howes, Christina	C004430	REPRIMAND	4/1/2011
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
Neill, Merrily	C001750	REPRIMAND	5/3/2013
Parks, Lachanda	P002671	REVOKED	5/4/2012
Pedersen, Ernest N.	C000342	VOLUNTARY SURRENDER	10/10/2008
Pittman, Susan	C004895	REVOKED	5/4/2012
Powell, Michelle	C002778	STAYED SUSPENSION—PROBATION	6/7/2013
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
Steele, Jr., John	C002447	REPRIMAND	12/4/2009
Swayne, Donald	C004259	PROBATION	12/7/2012
Swayne, Donald	C004259	SUSPENDED	3/11/2013
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
Wuthrich, Heather	C003798	SURRENDER CONTINUED	1/10/2013
Zelno, Andrew	C003649	REVOKED	12/4/2009

