



# UPDATE

North Carolina Social Work Certification and Licensure Board

SPRING, 2004

## MESSAGE FROM THE CHAIR

Jacalyn A. Claes, Ph.D., MSW, LCSW



Jacalyn A. Claes, Ph.D., MSW, LCSW

The Board has been strategizing ways to more effectively meet the changing context of clinical social work in North Carolina, particularly as it impacts P-LCSW licensees. Our assumption is that new MSW graduates need a number of years of practice in a community of other social work clinicians before they are ready to launch a solo practice. The novice clinician needs to have a clinical community that he/she can access when dealing with a client emergency. This access needs to be immediately available and cannot wait until the next scheduled clinical supervision appointment.

In line with this philosophy, while balancing the hard reality that new MSW's will no longer have the luxury of practicing clinical social work in an agency environment, the NCSWCLB has established the

following procedures: (1) Any provisionally licensed clinical social worker who wishes to practice outside of an agency setting must obtain NCSWCLB approval. (2) Board approval will not be given to anyone who has not passed the ASWB clinical level exam. (3) The applicant must have a signed statement by a licensed mental health professional agreeing to provide 24 hour coverage for the applicant. The Board discourages P-LCSW licensees from establishing a solo practice. In addition, the applicant's clinical supervisor must sign the emergency coverage form, since it is the P-LCSW's clinical supervisor who is ultimately responsible for the clinical practice of the provisionally licensed social worker.

The clinical social work supervisor is a vital link in ensuring continued practice competence. These persons serve as the eyes and ears of the Board in monitoring the practice competence of P-LCSW licensees. An opportunity for structured feedback between the supervisor and the Board is provided with the six-month review. Supervisors may also seek consultation through the Board office if issues of competence arise in between review dates. The clinical supervisor must also review and sign the clinical case example submitted with the review. In doing so, the supervisor is acknowledging to the Board approval of the assessment and interventions used by the P-LCSW in the submitted case example. ❖

### NCSWCLB MEMBERS

JACALYN A. CLAES, Ph.D.,  
MSW, LCSW  
CHAIR  
PROFESSIONAL MEMBER  
SOCIAL WORK EDUCATOR

BENNETT L. COTTEN  
MSW, LCSW  
VICE-CHAIR  
PROFESSIONAL MEMBER

WILLIAM LAMB  
CMSW  
SECRETARY-TREASURER  
PROFESSIONAL MEMBER

GARY B. BAILEY  
MSW, LCSW, ACSW  
PROFESSIONAL MEMBER

BETH LEATHERMAN  
PETERINELLI, MAEd.  
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OFFICE HOURS  
9 A.M. TO 5 P.M.  
MONDAY-FRIDAY

# USING A STUDY GROUP AS CONTINUING EDUCATION

BENNETT COTTEN, MSW, LCSW

Can the time you spend in a professional study group count towards the continuing education requirement for recertification or re-licensure? This question is raised occasionally as social workers plan study to increase their skills or complete CE information for the Board at re-licensing/recertification time. With about 4800 regulated social workers in North Carolina, the burden falls to each individual to demonstrate that all submitted CE activities meet the requirements of the Board. Because study groups vary so widely in content and structure, some will meet the standard and some will not.

Many activities that social workers undertake as professionals are practice enhancing but can not be used as CE. Some examples that come to mind are supervision, case consultation, peer supervision groups, personal growth groups, personal psychotherapy, community volunteer work, and work with professional organizations. A study group might enhance your practice but it might not be considered for required continuing education.

**A study group is accepted as CE if it has:**

- 1) a specific topic of focus that is related to practice;
- 2) identified learning materials that will expand the

participants' knowledge and skills, or an expert in the topic area who will present and guide the learning;

- 3) a facilitator who takes responsibility for the study discussion and for verification of each individual's attendance.

Preparation for a study group, such as reading books, does not count toward CE hours. Since most social workers will undergo one or more CE audits, documentation that the criteria above have been met is essential. How you do this is up to you, but it must be persuasive. One idea is to have a form at each study group meeting for each individual that is signed by the facilitator. The form should include the participant's name, the topic of study, the learning materials used or the presenter's name, the date of the meeting, and the amount of time spent in the study group on that date. If there is a sponsoring organization, that might be included also.

Any study group structured as described above will meet the CE requirement. If you need more clarification or have questions, please contact the Board staff so that the matter can be addressed by the Board when it next meets. ❖

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## Governor Easley Appoints New Board Members

The Board welcomes two new Board members appointed by the honorable Governor Easley, Mr. Ron Penney and Mr. Leon Maynor. Members of the NC Social Work Certification and Licensure Board serve at the pleasure of the governor and appointments are for three-year terms. Members may be reappointed for a second term.



*Ronald W. Penney, MPA*

**Ronald W. Penney, MPA:** Mr. Penney has retired, after 29 years of service, from the North Carolina Department of Health and Human Services. He most recently served as Chief of Administration for the NC Division of Child Development. Mr. Penney holds a BA in Psychology from the University of Virginia and a Masters in Public Administration

from North Carolina State University. The Board is very pleased to welcome Ron Penney, who will fill the vacancy created by Catherine Dillon.



*Leon Maynor, BA*

**Leon Maynor, BA:** Mr. Maynor brings to the Board a strong sense of compassion, dedication, and community involvement through a history of both professional and personal achievements. He presently serves the Robeson County public schools as a Behavior Specialist, has extensive experience as a case manager and counselor, and continues to serve his community

and state through service on various local and state boards and councils. Mr. Maynor fills the vacancy created by Mr. Bobby Dean Locklear. The Board congratulates Ron Penney and Leon Maynor on their appointment, and bids a fond farewell to retiring Board members, Catherine Dillon and Bobby Dean Locklear. Both Ms. Dillon and Mr. Locklear served the Board as public members for two consecutive terms. Their contributions of both time and talent exemplify dedicated and diligent service to this Board and their presence will surely be missed.

# DOCUMENTATION IN SOCIAL WORK

BETH L. PETERINELLI, MAEd., CSW, MSW, CSWM, P-LCSW

**A**s social workers, we know the responsibility we have to document our work with clients and patients. Sometimes we fail to pay equal attention to document our own records of professional growth and development. Two areas of concern have been noted in the Board office.

For social work certification or licensure, social workers are responsible for obtaining 40 hours of continuing education every two years. A minimum of two hours must be related to social work ethics. Although the social worker is not required to provide copies of his or her continuing education certificates to the Board office at the time of renewal, the social worker is expected to maintain copies for his or her own records. Each renewal cycle, there are random audits of compliance with the requirement for continuing education. For those who are audited, the paper trail is essential. The social worker can facilitate the audit of his or her training by keeping copies of continuing education certificates and by documenting training after each training event.

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## Administrator's Update

The Board office continues to receive information on outdated documents. Please be advised that occasional changes are made to standard forms utilized by the Board in accordance with changes in policy and procedure. It is important that information you submit to the Board be received on current documents to avoid a delay in processing that information. Of special concern are the documents related to the provisional licensee. The review process has undergone some significant changes to ensure compliance with the statutes and rules. Part of this process requires signature confirmation from the supervisor that he/she has read the Board's *Position Statement on Clinical Supervision* and reviewed the *Provisional License Review Employment and Supervision Form*, including the case sample, with the supervisee. The Board makes every effort to maintain current information and forms on the website and encourages individuals to download the appropriate document from the Printable Forms link rather than duplicate outdated documents. If in doubt, check the website ([www.ncswboard.org](http://www.ncswboard.org)). In addition, information faxed to the number identified on an outdated document will not be received in the Board office as the fax number changed with the move to a new physical location in March 2003. It is best to mail the hard copy of all documents requiring signature. ❖

Provisionally licensed clinical social workers are also required to submit reviews of their clinical work every six months to assure that the work is of a clinical nature and that adequate clinical supervision is received on a regular basis. At the time the provisional clinical social work license is issued, the social worker is advised of the need to submit these reviews and advised that there will be no reminders of the need to do so.

Although most social workers are submitting the required reviews on a timely basis, there are instances when the reviews are submitted late or not at all. This ultimately leads to issues that negatively impact the social worker's clinical license. To be in compliance with provisional licensure the social worker needs to submit those reviews in a timely manner, consistent with their review date.

Further information about both these requirements is available on the Board website at [www.ncswboard.org](http://www.ncswboard.org). ❖

## Current Disciplinary Action

1. Rebecca Merrill: **2/25/00 - Censure** (Effective 3/19/04, Ms. Merrill has complied with all mandates set forth by the Board.
2. Bruce Wheaton, Jr.: **06/14/01 - Revocation**. Requires Board approval to return to clinical practice.
3. Alan Konell: **10/22/01 - Censure** (License surrendered effective 4/1/02)
4. Peter Alan Ruiz: **4/19/02 - Revocation for three years**. Requires Board approval to return to clinical practice. (License surrendered effective 7/1/02)
5. Karen M. Rosner: **11/14/02 - License suspended**. Requires Board approval to return to clinical practice.
6. Kelly Ann Foss: **01/10/03 - License suspended**. Requires Board approval to return to clinical practice.
7. Scott Hager: **12/12/03 - License suspended**. Requires Board approval to return to clinical practice.
8. Lucy G. Sweeting: **12/12/03 - License suspended**. Requires Board approval to return to clinical practice.
9. David R. Gould: **12/12/03 - License suspended**. Requires Board approval to return to clinical practice.
10. Dalton W. Deese: **1/16/04 - Revocation for five years**. Requires Board approval to return to clinical practice.

## NCSWCLB MEETING DATES

Meeting dates are posted on our website:  
[www.ncswboard.org](http://www.ncswboard.org)

Meetings begin at 9:30 a.m. and are held at the  
Administrative Offices of the Board,  
357 South Cox Street, Asheboro, North Carolina.

# PROFESSIONAL RESPONSIBILITY

ANDREA BENFIELD, MSW, CSWM, LCSW

The purpose of social work licensure and certification under NCGS Chapter 90B is to protect the public. Earning a certificate or license to practice social work means you have been legally recognized as a responsible professional capable of living up to standards that carry the force of law. A certified or licensed social worker has met standards for professional education, training and experience; has been professionally referenced; has passed a rigorous examination; and maintains his/her credential through continuing social work education and adherence to the Board's Ethical Guidelines. The public expects that your services will be competent, responsible and ethical. Certification and /or licensure is your *professional badge*.

Being certified or licensed is a privilege, granting you the right to practice social work in your area of credentialing. This privilege also carries multiple responsibilities which include:

- Responsibility to be fully familiar with the statutes (GS 90B) and the administrative rules (Title 21: Chapter 63) that govern your certification and/or license. At the time of application you were given a hard copy of these. You are informed of amendments to these statutes and rules through the *Update*, and current law is always posted on the Board's website at [www.ncswboard.org](http://www.ncswboard.org).
- Responsibility to thoroughly read your mailings from the Board, i.e. approval of certification and/or licensure, notices of biennial renewal requirements, notices of provisional review dates, verifications of your credentials, requests for clarifying information, etc.
- Responsibility to keep the Board informed of your correct and current address where you prefer to receive mail.
- Responsibility to know when you were certified and/or licensed, and when you are due to renew that certification/licensure; to renew your credential in a timely manner, and to be aware of additional fees for late renewal; and to be aware that a certification/license is *automatically suspended* if you fail to renew within 60 days of the due date.
- Responsibility to seek and secure social work continuing education on a consistent basis to maintain professional knowledge and technical competency; to be aware of the continuing education activities acceptable, and to maintain verification documents of your continuing education hours as the Board audits, by random sampling, all continuing education presented for renewal of your credential.
- Responsibility to secure MSW-LCSW supervision when you seek the Provisional Licensed Social Worker credential, and to keep clear and retrievable records of all supervision during your provisional licensure period.
- Responsibility to submit your P-LCSW review documents appropriately completed with your case summary in a timely manner consistent with the due date.
- Responsibility to provide timely, clinically focused supervision to P-LCSW licensees and to maintain clear and retrievable records of all supervision.
- Responsibility of the P-LCSW to inform the Board when there is a change in the person providing clinical supervision, when there is a change in the type of clinical social work services provided, and /or when there is a change in practice site.
- Responsibility to take extra precautions to protect client confidentiality when using any electronic transmission of identifiable client information/data.
- Responsibility to be clear about your certification/licensure level when representing yourself to clients, employers or the general public.
- Responsibility to be honest and straightforward in all matters related to your certification and /or licensure as a social worker when communicating with the Board.
- Responsibility to ask questions and seek clarification about any issue that may concern you, by communicating directly with the Board office.
- And of course, your responsibility to follow the North Carolina Social Work Certification and Licensure Board's Ethical Guidelines which set forth principles to guide social workers' conduct in your profession. At issuance of your certification/licensure and at renewal you sign a statement attesting that you have read these guidelines, agree to abide by them, and have not violated them.

Professional responsibility is grounded in one's character and one's desire to practice our profession with pride and dignity. It is to be taken seriously. This Board appreciates the thousands of certified and licensed social workers who demonstrate their accountability by being professionally responsible. It is the best way to assure the public is protected. ❖

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

## ANNUAL REPORT

July 1, 2002 – June 30, 2003

### Board Members:

Jacalyn Claes, Ph.D., MSW, LCSW: Chair, Professional Member (Educator)  
Gary B. Bailey, MSW, LCSW, ACSW: Vice-Chair, Professional Member  
Bobby Dean Locklear, MEd.: Secretary-Treasurer, Public Member  
Bennett Cotten, MSW, LCSW: Professional Member (Private Sector)  
Beth L. Peterinelli, MAEd., MSW, CSWM: Professional Member (Public Sector)  
Catherine Dillon, MS: Public Member  
William Lamb, MSW, CMSW: Professional Member

The NCSWCLB met on a monthly basis to complete the duties and functions as assigned by Chapter 90B, Social Worker Certification and Licensure Act, North Carolina General Statutes.

### A. ACTIVITY RELATED TO CERTIFICATION PROCESS

1. Applicants for examination: .....	366
2. Applicants denied examination: .....	0
3. Applicants sitting for examination: .....	334
4. Applicants passed Basic level exam: .....	15
5. Applicants failed Basic level exam: .....	1
6. Applicants passed Intermediate level exam: .....	3
7. Applicants failed Intermediate level exam: .....	1
8. Applicants passed Advanced level exam: .....	00
9. Applicants failed Advanced level exam: .....	00
10. Applicants passed Clinical level exam: .....	191
11. Applicants failed Clinical level exam: .....	123
12. Applications for certification/licensure received: .....	617
13. Applicants issued initial certification/licensure: .....	674
14. Applicants issued certification/licensure by comity: .....	55
15. Certificates/licenses suspended or revoked: .....	02
16. Certificates/licenses terminated by any reason: .....	152
17. Applicants currently listed as nonpracticing: .....	341
18. Applications for certification renewal: .....	2537

### B. CURRENT NUMBER OF CERTIFICANTS BY LEVEL ON JUNE 30, 2003

Level A – Certified Social Worker .....	Active	227
Level B – Certified Master Social Worker .....	Active	100
Level C – Licensed Clinical Social Worker .....	Active	3351
Level C – Provisional Licensed Clinical Social Worker .....	Active	703
Level H – Certified Social Work Manager .....	Active	39
TOTAL CERTIFICATIONS .....	Active	4420

C. The Board continues to maintain on site and through a web listing, MSW/LCSW Clinical Social Workers willing to supervise P-LCSW licensees as they work toward full licensure. This roster is updated quarterly.

D. Board members made five (5) presentations in response to requests from various agencies, social work organizations and Schools of Social Work. Topics included Social Work Certification and Licensure, and Ethics and Cultural Conflicts.

E. The Board acted upon seventy-seven (77) ethical complaints against social workers under NCGS § Chapter 90B. Of these complaints, the Board issued a Letter of Caution or Concern in five (5) matters, proceeded to hearing in two (2) cases, and nineteen (19) allegations were unsubstantiated. Disciplinary action through suspension was taken in two cases and the Board entered into a consent agreement in four (4) matters before the Board. The Board also accepted the voluntary surrender of one (1) license in response to alleged ethical violations, ordered a substance abuse assessment for one (1) licensee, and reinstated one (1) license in response to compliance with a Board proposed order.

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**ANNUAL REPORT**

- F. Board members addressed a number of long-range goals at their annual retreat in January 2003. These goals included relocation of the Board's administrative offices and employing one full-time Administrative Coordinator and two part-time Administrative assistants to staff that office; securing a more cost effective financial management contract; recruiting additional ethics investigators as needed to meet the increasing demand to respond to ethical complaints; hiring a part-time Ethics Coordinator; continuing to define the ethics process in order to be able to respond to the public and professional community in a timely manner; and developing a more user-friendly web page (including on-line verification of certification/licensure, and online document submissions).
- G. On March 21, 2003, the Board moved into a new location at 357 S. Cox Street in Asheboro. Although the telephone number remained the same, a new secure fax number of 336-625-4246 was implemented immediately. The Ethics Coordinator position was filled in September 2002, and Administrative staff, employed directly by the Board, began on May 1, 2003.
- H. William E. Lamb, MSW, CMSW was appointed in March 2003 by Governor Easley to serve on the Board. Mr. Lamb filled the vacancy created by Mr. Almon Carr, who served the Board for over six years, serving as Board Chair for three of those years. Dr. Jacalyn Claes took on the leadership role as Board Chair in July 2002. ❖

Exam Category and Group Type	Total Number of Candidates	Pass Rate	
		Number	Percentage
<b>Basic</b>			
First-Time	10	10	100.0
Repeat Group	0	0	0.0
Total Group	10	10	100.0
<b>Intermediate</b>			
First-Time	3	1	33.3
Repeat Group	1	0	0.0
Total Group	4	1	25.0
<b>Advanced</b>			
First-Time	2	0	0.0
Repeat Group	0	0	0.0
Total Group	2	0	0.0
<b>Clinical</b>			
First-Time	250	186	74.4
Repeat Group	104	37	35.6
Total Group	354	223	63.0
<b>TOTAL</b>	<b>370</b>	<b>234</b>	<b>63.2</b>

Exam Category and Group Type	Total Number of Candidates	Pass Rate	
		Number	Percentage
<b>Basic</b>			
First-Time	3799	3110	81.9
Repeat Group	725	241	33.2
Total Group	4524	3351	74.1
<b>Intermediate</b>			
First-Time	7254	5532	76.3
Repeat Group	2339	673	28.8
Total Group	9593	6205	64.7
<b>Advanced</b>			
First-Time	154	95	61.7
Repeat Group	33	6	18.2
Total Group	187	101	54.0
<b>Clinical</b>			
First-Time	6218	4482	72.1
Repeat Group	2460	816	33.2
Total Group	8678	5298	61.1
<b>TOTAL</b>	<b>23,154</b>	<b>15,068</b>	<b>65.1</b>