
North Carolina School Social Worker Evaluation Process

Users' Guide

September 2013



Public Schools of North Carolina
State Board of Education
Department of Public Instruction

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Acknowledgements

The North Carolina Department of Public Instruction gratefully acknowledges the School Social Worker Development Team members who contributed their time, energy, and expertise to the development of this new evaluation system. The depth of their knowledge and understanding of the role of school social workers in public school settings as well as their understanding of what a 21st Century evaluation process should entail guided the work and kept it focused on the public school students of North Carolina.

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In addition, the development team would like thank several members of the North Carolina Department of Public Instruction team who provided advice and guidance throughout the development process. These are:

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Introduction

The mission of the North Carolina State Board of Education is that every public school student will graduate from high school globally competitive for work and postsecondary education and prepared for life in the 21st Century. This mission requires a new vision of school leadership and a new set of skills that school social workers must use daily in order to help their students learn 21st Century content and master skills they will need when they graduate from high school and enroll in higher education or enter the workforce or the military.

North Carolina Professional School Social Work Standards

The North Carolina Professional School Social Work Standards are the basis for school social Worker preparation, evaluation, and professional development. Colleges and universities are changing their programs to align with these standards; a new school social worker evaluation instrument has been created; and professional development is taking on a new look based on these Standards. Each of these will include the skills and knowledge needed for 21st Century teaching and learning.

Intended Purpose of the Standards

The North Carolina Standards for School Social Work have been developed as a guide for school social workers as they continually improve their effectiveness. It is incumbent upon the school social worker to provide services as part of a comprehensive multidisciplinary team with complementary knowledge, skills, and experiences.

The school social worker standards will:

- Guide professional development as school social workers move forward in the 21st Century so that school social workers can attain the skills and knowledge needed;
- Provide the focus for schools and districts as they support, monitor and evaluate their school social workers; and
- Assist higher education programs in the development of content and requirements of School Social Work education curricula.

Organization of the Standards

Standard: The Standard is the broad category of the school social worker's knowledge and skills.

Summary: The summary provides explicit descriptions of the Standard's content.

Practices: The practices define the various tasks undertaken to demonstrate the Standard. The list of practices is not meant to be exhaustive.

Artifacts: The artifacts are documentation of standard practices the school social worker might include as evidence in meeting the Standards.

These standards are intended for use by North Carolina public schools and local education agencies that employ school social workers. The State Board of Education Mission and Goals; State Board of Education Policies QP-C-003 and QP-C-006; State General Statutes 115C-333 and 115C-335; North Carolina Standards for the Preparation of School Social Workers approved by the State Board of Education on November 3, 2005; select

pages from the Wisconsin Department of Public Instruction *School Social Work Practice Guide*; and the Illinois State Board of Education *Standards for the School Social Worker* were consulted.

Standard 1: School social workers demonstrate leadership.

School social workers demonstrate leadership by promoting and enhancing the overall academic mission by providing services that strengthen home, school, and community partnerships. School social workers use their professional training, depth of knowledge, and experience to work with individuals and teams to facilitate partnerships that support the school and district mission. The school social workers contribute significantly to development of a healthy, safe, and caring school environment by advancing the understanding of the social, emotional, psychological, and academic needs of students.

School social workers initiate the development of community, district, and school resources to address unmet needs that affect academic achievement and alleviate barriers to learning in the 21st Century. School social workers are knowledgeable of relevant laws, policies, and procedures and provide staff development and training regarding these areas to educate and encourage compliance.

- a. **School social workers demonstrate leadership in school.** School social workers collaboratively engage all school personnel to create a professional learning community. School social workers develop and maintain a written plan of data-driven goals and strategies for effective delivery of the school social work program based on national best practices, individual school data, current relevant research findings, and the school improvement plan. School social workers provide input in the selection of professional development to impart staff with the knowledge to meet the educational needs of students. They participate in the hiring process and collaborate with their colleagues to mentor and support school social workers to improve the effectiveness of student support services.
 - Work collaboratively with all school personnel to create a positive learning community.
 - Develop and maintain a written plan of data driven goals and strategies for effective delivery of the school social work program based on national best practices, individual school data, current relevant research findings, and the School Improvement Plan.
 - Assist in identifying professional development opportunities.
 - Participate in the hiring process.
 - Collaborate and mentor colleagues to support school social workers to improve the effectiveness of student support services.

- b. **School social workers enhance the social work profession.** School social workers strive to enhance the social work profession. School social workers contribute to the establishment of positive working conditions in their schools, districts, state, and nation. School social workers actively participate in and advocate for decision-making structures in education and government that utilize the expertise of school social workers. School social workers communicate the goals of the school social work program to stakeholders. School social workers maintain current and appropriate resources to improve the relationship among home, school, and community. School social workers promote professional growth and collaborate with their colleagues to improve the profession.
 - Strive to enhance the profession.
 - Contribute to the establishment of positive working conditions.
 - Participate and advocate in decision-making structures.

- Communicate the goals of the school social work program to stakeholders.
 - Maintain current and appropriate resources to improve the relationship among home, school, and community.
 - Promote professional growth and collaborate with their colleagues.
- c. School social workers advocate for students, families, schools, and communities.** School social workers advocate for positive change in policies and practices affecting student learning. School social workers support the school improvement plan and student academic success through developing and utilizing internal and external partnerships and resources. They participate in the implementation of initiatives to improve educational and support services.
- Advocate for positive change in policies and practices affecting student learning.
 - Develop and utilize internal and external partnerships and resources.
 - Participate in the implementation of initiatives to improve student educational and support services.
- d. School social workers demonstrate high ethical standards.** School social workers adhere to the laws, policies, procedures, and ethical standards of the social work profession. School social workers demonstrate ethical principles including honesty, integrity, fair treatment, and respect for others. School social workers uphold the National Association of Social Workers (NASW) Code of Ethics, revised 1999 (<http://www.socialworkers.org/pubs/code/code.asp>), The Code of Ethics for North Carolina Educators (effective June 1, 1997), and the Standards for Professional Conduct (adopted April 1, 1998).
- Adhere to the laws, policies, procedures, and ethical standards of the social work profession.
 - Demonstrate ethical principles.
 - Uphold the National Association of Social Workers Code of Ethics.
 - Uphold the Code of Ethics and Standards for the Professional Conduct.

Standard 2: School social workers promote a respectful environment for diverse populations.

School social workers promote a positive school environment in which individual differences are respected. School social workers educate school personnel on the correlation between a positive school climate and student achievement. School social workers understand and respect the impact of how student learning is influenced by culture, community, family, and individual experiences. School social workers recognize the need to educate the school staff on emerging issues within the home, school, and community. The School social worker understands the ways in which similar behaviors may have different meanings to people in different cultures.

- a. School social workers promote an environment in which each student has a positive, nurturing relationship with caring adults.** School social workers encourage an environment that is inviting, respectful, supportive, inclusive, and flexible. School social workers provide leadership and collaborate with other school personnel to provide effective school social work services. School social workers implement developmentally-appropriate and prevention-oriented group activities to meet student needs and school goals.
- Encourage an environment that is inviting, respectful, supportive, inclusive, and flexible.
 - Provide leadership and collaborate with other school personnel to provide effective school social work services.

- Implement developmentally-appropriate and prevention-oriented group activities to meet student needs and school goals.

b. School social workers embrace diversity in the school, home, community, and world. School social workers demonstrate their knowledge of diverse cultures. School social workers also understand the role of diverse cultures in shaping global, state, and school issues. School social workers recognize the influence of race, ethnicity, gender, religion, language, and other aspects of culture on a student's development and personality. School social workers strive to understand how students' culture and background may influence their school performance. School social workers consider and incorporate different points of view in the professional development provided for school personnel. School social workers actively select materials and develop activities that counteract stereotypes and incorporate histories and contributions of all cultures.

- Demonstrate their knowledge of diverse cultures.
- Understand the role of diverse cultures in shaping global, state, and school issues.
- Recognize the influences of race, ethnicity, gender, religion, language, and other aspects of culture on a student's development and personality.
- Understand how students' culture and background may influence their school performance.
- Consider and incorporate different points of view.
- Select materials and develop activities that counteract stereotypes and incorporate contributions of all cultures.

c. School social workers treat students as individuals. School social workers maintain high expectations, including graduation from high school, for students of all backgrounds. School social workers appreciate differences and value the contributions of each student in the learning environment by building positive, appropriate relationships. School social workers assist students, individually and/or in groups, with developing academic, social, emotional, and psychological skills.

- Maintain high expectations for all students.
- Appreciate differences and value the contributions of each student in the learning environment by building positive, appropriate relationships.
- Assist students, individually and/or in groups, with developing academic, social, emotional, and psychological skills.

d. School social workers provide services that benefit students with special needs. School social workers collaborate with administrators, teachers, and a range of specialists to help meet the special needs of all students. School social workers may participate in the evaluation process by conducting the student social/developmental history and parent interviews. School social workers engage students to ensure that their academic, social, emotional, and psychological needs are effectively met by conducting individual/group counseling.

- Collaborate with administrators, teachers, and a range of specialists to help meet the special needs of all students.
- Participate in the evaluation process by conducting the student social/developmental history and parent interviews.
- Engage students to ensure that their academic, social, emotional, and psychological needs are effectively met by conducting individual/group counseling.

e. School social workers work collaboratively with families and significant adults in the lives of students. School social workers recognize that educating students is a shared responsibility involving the students, families, schools, and communities. School social workers improve communication and collaboration among the school, home, and community in order to promote trust and understanding and to build partnerships with all segments of the school community. School social workers seek solutions to barriers that inhibit effective familial and community involvement in the education of students.

- Improve communication and collaboration among the school, home, and community.
- Promote trust and understanding to build partnerships among school, home, and community.
- Seek solutions to barriers that inhibit familial and community involvement in the education of students.

Standard 3: School social workers apply the skills and knowledge of their profession within educational settings.

School social workers utilize theories and skills necessary to enhance the interconnectedness of home, school, community, and student success. School social workers consult and collaborate through multidisciplinary teams to improve service delivery. School social workers encourage and model relationships that are critical to a rigorous and relevant education. School social workers provide proven and promising interventions that address barriers to academic achievement. School social workers align their services with the *North Carolina Standard Course of Study* and national best practices.

a. School social workers deliver comprehensive services unique to their specialty area. School social workers bring a richness and depth of understanding of students, families, schools, and communities. School social workers utilize skills such as advocacy, assessment, consultation, counseling, and collaboration to create and implement developmentally appropriate and targeted interventions to meet the identified needs of students, families, schools, and communities. School social workers support and encourage student and family involvement in the school process.

- Understand students, families, schools, and communities.
- Utilize skills such as advocacy, assessment, consultation, counseling, and collaboration to create and implement developmentally appropriate and targeted interventions to meet the identified needs of students, families, schools, and communities.
- Support and encourage student and family involvement.

b. School social workers possess effective communication skills. School social workers are perceptive listeners and are able to communicate effectively with students, families, school staff, and communities even when language is a barrier.

Communicate effectively with students, families, school staff, and communities even when language is a barrier.

c. School social workers recognize the interconnectedness of academic, social, emotional, and psychological development and societal challenges. School social workers comprehend the link between school social work services and the *North Carolina Standard Course of Study*. School social workers understand the implications of demographic and socio-economic factors that influence student achievement. School social workers promote global awareness and its relevance to the development of the whole child for the 21st Century.

- Understand the implications of demographic and socio-economic factors that influence student achievement.
- Promote global awareness and its relevance to the development of the whole child for the 21st Century.

d. School social workers facilitate student acquisition of 21st Century skills. School social workers incorporate 21st Century life skills deliberately, strategically, and broadly into their services. These skills include leadership, ethics, accountability, adaptability, personal productivity, personal responsibility, interpersonal skills, self-direction, and social responsibility. School social workers help students understand the relationship between the *North Carolina Standard Course of Study* and 21st Century content, which includes global awareness; financial, economic, business and entrepreneurial literacy, civic literacy, and health and wellness awareness. School social workers facilitate student understanding of the 21st Century content relevant to academic, social, emotional, and psychological success.

- Incorporate life skills which include leadership, ethics, accountability, adaptability, personal productivity, personal responsibility, interpersonal skills, self-direction, and social responsibility.
- Demonstrate the relationship between the core content and 21st Century content that includes global awareness; financial, economic, business, and entrepreneurial literacy; civic literacy; and health and wellness awareness.
- Facilitate student understanding of the 21st Century content relevant to academic, social, emotional, and psychological success.

Standard 4: School social workers support student learning.

The School social worker understands how the students' social, emotional, psychological, and environmental factors influence academic performance and achievement. School social workers understand the need for early intervention and prevention when addressing these factors. School social workers collaborate with parents to aid their understanding of their role as an active participant in the student's education performance. School social workers develop intervention plans that address student needs and promote academic success.

a. School social workers use a variety of strength-based methods. School social workers address the achievement gap by assessing student strengths and needs, and by implementing proven and promising interventions. School social workers provide a wide range of prevention, early intervention, and crisis response strategies to address social, emotional, psychological, and academic needs. School social workers collaborate and consult with administrators, instructional and support staff, parents, and the community to support student learning. School social workers provide professional development to promote early identification of unmet needs; increase awareness of relevant laws, policies, and procedures; and encourage empathy and understanding of the whole child.

- Address the achievement gap by assessing student strengths and needs and by implementing proven and promising interventions.
- Provide a wide range of prevention, early intervention, and crisis response strategies to address social, emotional, psychological, and academic needs.
- Collaborate and consult with administrators, instructional and support staff, parents, and the community to support student learning.

- Provide professional development to promote early identification of unmet needs, increase awareness of relevant laws, policies, and procedures, and encourage empathy and understanding of the whole child.
- b. **School social workers help students develop critical thinking and problem-solving skills.** School social workers address issues that interfere with the student’s ability to problem solve and think critically. School social workers assist students in developing skills necessary to communicate effectively, synthesize knowledge, think creatively, and make informed decisions through individual and group work.
- Address issues that interfere with the students’ ability to problem solve and think critically.
 - Assist students in developing skills necessary to communicate effectively, synthesize knowledge, think creatively, and make informed decisions through individual and group work.
- c. **School social workers support students as they develop leadership qualities.** School social workers help students strengthen interpersonal and intrapersonal skills, improve communication skills, understand cultural differences, and develop leadership qualities.
- Strengthen interpersonal and intrapersonal skills, improve communication skills, understand cultural differences, and develop leadership qualities

Standard 5: School social workers actively reflect on their practice.

School social workers are accountable for managing and providing services that strengthen home, school, and community partnerships in support of student learning. School social workers use formal and informal assessments to collect, analyze, and evaluate strategies for effective service delivery. School social workers utilize collaborative relationships with colleagues, families, and communities to reflect and improve their practice.

- a. **School social workers analyze student learning.** School social workers think systematically and critically about students’ social, emotional, psychological, and academic success. School social workers collect and analyze student data to plan and evaluate the effectiveness of service delivery. School social workers adapt their practice based on current relevant research findings and data to best meet the needs of students, families, schools, and communities.
- Think systematically and critically about students’ social, emotional, psychological, and academic success
 - Collect and analyze student data to plan and evaluate the effectiveness of service delivery
 - Adapt their practice based on current relevant research findings and data to best meet the needs of students, families, schools, and communities
- b. **School social workers link professional growth to their professional goals.** School social workers continually participate in high quality professional development specific to school social work practice. School social workers also understand a global view of educational practices, including 21st Century skills and knowledge aligned with the State Board of Education priorities and initiatives.
- Participate in high quality professional development specific to school social work practice.

- c. School social workers function effectively in a complex, dynamic environment.** School social workers understand that change is constant; therefore, they actively investigate and consider new ideas that support students' social, emotional, psychological, and academic success. School social workers adapt their practice based on current research findings and data to best meet the needs of all students.
- Actively investigate and consider new ideas that support students' social, emotional, psychological, and academic success.
 - Adapt their practice based on current research findings and data.

Framework for 21st Century Learning

The Partnership for 21st Century Skills has developed a vision for 21st Century student success in the new global economy. The elements described in this section as “21st Century student outcomes” (represented by the rainbow in Exhibit 1) are the skills, knowledge, and expertise students should master to succeed in work and life in the 21st Century.

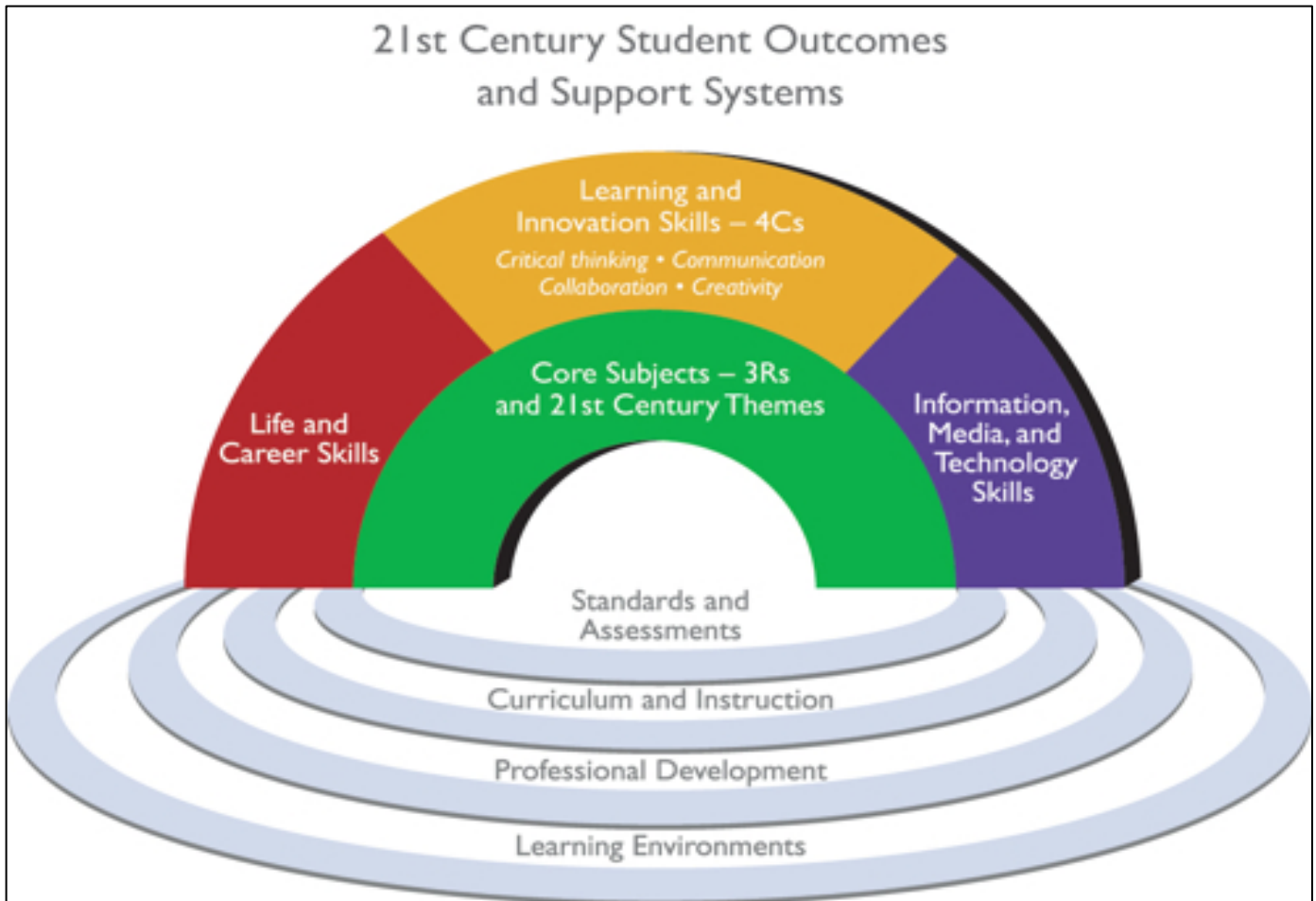


Exhibit 1. 21st Century Student Outcomes and Support Systems

Core Subjects and 21st Century Themes

Mastery of core subjects and 21st Century themes is essential for students in the 21st Century. Core subjects include English, reading/language arts, world languages, arts, mathematics, economics, science, geography, history, government, and civics.

We believe school must move beyond a focus on basic competency in core subjects promoting understanding of academic content at much higher levels by weaving 21st Century interdisciplinary themes into core subjects:

- Global Awareness
- Financial, Economic, Business, and Entrepreneurial Literacy
- Civic Literacy
- Health Literacy

Learning and Innovation Skills

Learning and innovation skills are what separate students who are prepared for increasingly complex life and work environments in 21st Century and those who are not. They include:

- Creativity and Innovation
- Critical Thinking and Problem Solving
- Communication and Collaboration

Information, Media, and Technology Skills

People in the 21st Century live in a technology and media-driven environment, marked by access to an abundance of information, rapid change in technology tools, and the ability to collaborate and make individual contributions on an unprecedented scale. To be effective in the 21st Century, citizens and works must be able to exhibit a range of functional and critical thinking skills, such as:

- Information Literacy
- Media Literacy
- ICT (Information, Communications, and Technology) Literacy

Life and Career Skills

Today's life and work environments require far more than thinking skills and content knowledge. The ability to navigate the complex life and work environments in the globally competitive information age requires students to pay rigorous attention to developing adequate life and career skills, such as:

- Flexibility and Adaptability
- Initiative and Self-Direction
- Social and Cross-Cultural Skills
- Productivity and Accountability
- Leadership and Responsibility

21st Century Support Systems

Developing a comprehensive framework for 21st Century learning requires more than identifying specific skills, content knowledge, expertise, and literacies. An innovative support system must be created to help students master the multidimensional abilities required of them in the 21st Century. The Partnership has identified five critical support systems that ensure student mastery of 21st Century skills:

- 21st Century Standards
- Assessment of 21st Century Skills
- 21st Century Curriculum and Instruction
- 21st Century Professional Development
- 21st Century Learning Environments

For more information, visit the Partnership's website at www.21stcenturyskills.org.

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Milestones for Improving Learning and Education

The Partnership for 21st Century Skills developed the Milestones for Improving Learning and Education (MILE) Guide for 21st Century Skills to assist educators and administrators in measuring the progress of their schools in defining, teaching, and assessing 21st Century skills. The following describes the skills and knowledge required of students in the 21st Century. This list was adapted from the 21st Century Partnership's MILE Guide and served as a foundation for the North Carolina Professional School Social Work standards.

Global Awareness

- Using 21st Century skills to understand and address global issues.
- Learning from and working collaboratively with individuals representing diverse cultures, religions and lifestyles in a spirit of mutual respect and open dialogue in personal, work, and community contexts.
- Having the ability to utilize non-English languages as a tool for understanding other nations and cultures.

Financial, Economic, Business, and Entrepreneurial Literacy

- Knowing how to make appropriate personal economic choices.
- Understanding the role of the economy and the role of business in the economy.
- Using entrepreneurial skills to enhance workplace productivity and career options.

Civic Literacy

- Being an informed citizen to participate effectively in government.
- Exercising the rights and obligations of citizenship at local, state, national, and global levels.
- Understanding the local and global implications of civic decisions.

Health Literacy

- Having the ability to access health information and services, navigate health institutions, and act as an effective advocate to improve health for self, family and/or community.
- Understanding preventive physical and mental health measures, including proper diet, nutrition, exercise, risk avoidance, and stress reduction.
- Demonstrating understanding of national and international health.

Thinking and Learning Skills

Critical Thinking and Problem Solving Skills

- Exercising sound reasoning and understanding.
- Making complex choices.
- Understanding the interconnections among systems.
- Framing, analyzing, and solving problems.

Communication

- Articulating thoughts and ideas clearly and effectively.

Information and Media Literacy Skills

- Understanding, managing, and creating effective oral, written and/or multimedia communication in a variety of forms and contexts.
- Analyzing, accessing, managing, integrating, evaluating, and creating information in a variety of forms and media.

Creativity and Innovation Skills

- Demonstrating originality and inventiveness in work.
- Developing, implementing, and communicating new ideas to others.
- Being open and responsive to new and diverse perspectives.

Collaboration Skills

- Demonstrating ability to work effectively with diverse teams.
- Being willing to be helpful and make necessary compromises to accomplish a common goal.

Contextual Learning Skills

- Having the ability to take advantage of education in a variety of contexts, both inside and outside the classroom; understanding that knowledge is acquired within a context.

ICT Literacy

- Using technology in the course of attaining and utilizing 21st Century skills.

Life Skills

Leadership

- Using interpersonal and problem-solving skills to influence more than one person toward a goal.
- Having the ability to leverage strengths of others to accomplish a common goal.

Ethics

- Demonstrating integrity and ethical behavior in personal, workplace, and community contexts.

Accountability

- Setting and meeting high standards and goals for oneself and others.

Adaptability

- Adapting to varied roles and responsibilities.
- Tolerating ambiguity and changing priorities.

Personal Productivity

- Utilizing time efficiently and managing workload.
- Being punctual and reliable.

Personal Responsibility

- Exercising personal responsibility and flexibility in personal, workplace and community contexts.

People Skills

- Working appropriately and productively with others.

Self Direction

- Monitoring one's own understanding and learning needs.
- Demonstrating initiative to advance professional skill levels.
- Having the ability to define, prioritize, and complete tasks without direct oversight.
- Demonstrating commitment to learning as a lifelong process.

Social Responsibility

- Acting responsibly with the interests of the larger community in mind.

School Social Worker Evaluation Process

The Rubric for Evaluating School Social Workers is based on the Framework for 21st Century Learning and the North Carolina Professional School Social Work Standards. The instrument is designed to promote effective leadership, quality social work practice, and student learning while leading to improved instruction. The evaluation instrument and its accompanying processes and materials are designed to encourage professional growth, to be flexible and fair to the persons being evaluated, and to serve as the foundation for the establishment of professional goals and identification of professional development needs.

The intended purpose of the North Carolina School Social Worker Evaluation Process is to assess the school social worker's performance in relation to the North Carolina Professional School Social Worker Standards and to design a plan for professional growth. The principal or a designee (hereinafter "principal") will conduct the evaluation process in which the school social worker actively participate through the use of self-assessment, reflection, presentation of artifacts, and classroom demonstration(s).

A local board shall use the North Carolina Professional School Social Worker Standards and North Carolina School Social Worker Evaluation Process unless it develops an alternative evaluation that is properly validated and that includes standards and criteria similar to those in the North Carolina Professional School Social Worker Standards and North Carolina School Social Worker Evaluation Process.

The North Carolina School Social Worker Evaluation Process includes the following components:

Component 1: Training

Before participating in the evaluation process, all school social worker, principals and peer evaluators must complete training on the evaluation process.

Component 2: Orientation

Within two weeks of an school social worker's first day of work in any school year, the principal will provide the school social worker with a copy of or directions for obtaining access to a copy of:

- A. The Rubric for Evaluating North Carolina School Social Workers;
- B. This policy; and
- C. A schedule for completing all the components of the evaluation process.

Component 3: Self-Assessment

Using the Rubric for Evaluating North Carolina School Social Workers, the school social worker shall rate his or her own performance at the beginning of the year and reflect on his or her performance throughout the year.

Component 4: Pre-Observation Conference

Before the first formal observation, the principal shall meet with the school social worker to discuss the school social worker's self-assessment based on the Rubric for Evaluating North Carolina School Social Workers, the school social worker's most recent professional growth plan, and the lesson(s) to be observed. The school social worker will provide the principal with a written description of the lesson(s). The goal of this conference is to prepare the principal for the observation. Pre-observation conferences are not required for subsequent observations.

Component 5: Observations

All school support staff members who are licensed by the North Carolina Department of Public Instruction are required to adhere to the annual evaluation requirements outlined in GS 115c-333.1(a). The **minimum** requirements for observations of probationary staff members whose contracts are renewed annually and career staff members who have reached career status are:

Probationary

- One (1) pre-observation conference conducted prior to the first formal observation.
- Three (3) formal observations which may be conducted by different administrators if the support staff member works in more than one school. Different administrators in the same school may also conduct observations. Administrators may choose to conduct more than the required three (3) formal observations during the school year.
- Three (3) formal post-observation conferences.
- One (1) final/summative evaluation conducted near the end of the year. All administrators who observed the support staff member during the year should confer about the final evaluation ratings prior to the final/summative evaluation conference to ensure that all aspects of the support staff member's performance are considered.

Total: Three (3) Formal Observations

(Minimum requirement as administrators reserve the right to determine number of observations. Likewise, the employee may request additional Formal Observations.)

Career

- One (1) pre-observation conference conducted prior to the first formal observation.
- One (1) formal observation.
- One (1) formal post-observation conference.

- Two (2) informal observations which may be conducted by more than one (1) administrator.
- One (1) final/summative evaluation conducted near the end of the year. All administrators who observed the support staff member during the year should confer about final evaluation ratings prior to the final/summative evaluation conference to ensure that all aspects of the support staff member’s performance are considered.

Total: Three (3) Observations (1 Formal, 2 Informal)

(Multiple administrators confer regarding observations and Summative Evaluation as determined by LEA)

Any administrator responsible for evaluating probationary or career status school support staff members may choose to conduct additional formal observations during the school year. Likewise, the employee may request additional Formal Observations. Observation requirements are summarized in the following table.

Comparison of Probationary and Career Support Staff Member Evaluation Requirements

	Probationary	Career
Pre-Observation Conference	One (1) conducted prior to first formal observation	
Formal Observation(s)	3	1
Formal Post-Observation Conference	3	1
Informal Observations		2
Summative Evaluation	1	1
Other Requirements	Multiple administrators confer regarding observation results and representation on the final/summative evaluation.	
Options	Administrators may choose to conduct additional observations. Likewise, the employee may request additional observations.	

During observations, the evaluator shall note the school social worker’s performance in relation to applicable standards on the appropriate rubric for evaluating the school support staff member. Each formal observation should last at least forty-five minutes or an entire session or activity.

Component 6: Post-Observation Conference

The principal shall conduct a post-observation conference no later than ten school days after each formal observation. During the post-observation conference, the principal and school social worker shall discuss and document on the rubric the strengths and weaknesses of the school social worker performance during the observed lesson.

Component 7: Summary Evaluation Conference and Scoring the Summary Rating Form

Prior to the end of the school year and in accordance with LEA timelines, the principal shall conduct a summary evaluation conference with the school social worker. During the summary evaluation conference the principal and school social worker shall discuss the school social worker’s self-assessment, the most recent Professional Growth Plan, the components of the North Carolina School Social Worker Evaluation Process completed during the year, classroom observations, artifacts submitted or collected during the evaluation process and other evidence of performance on the rubric.

At the conclusion of the North Carolina School Social Worker Evaluation Process, the principal shall:

- A. Give a rating for each element in the rubric;
- B. Make a written comment on any element marked Not Demonstrated,
- C. Give an overall rating of each standard in the rubric,
- D. Provide the school social worker with the opportunity to add comments to the School Social Worker Summary Rating Form,
- E. Review the completed School Social Worker Summary Rating Form with the school social worker, and
- F. Secure the school social worker's signature on the Record of School Social Worker Evaluation Activities and School Social Worker Summary Rating Form.

Component 8: Professional Development Plans

School social workers shall develop a Professional Growth Plan designed to serve as a guide for improving their performance during the subsequent school year. At a minimum, such a plan shall outline the standards and elements on which improvement is needed, goals to be accomplished, activities to be completed, and a timeline for completing all activities and/or achieving goals. The Professional Growth Plan should be discussed with and approved by the evaluator as the final step in the evaluation process.

Individual Growth Plans

School social workers who are rated at least "Proficient" on all Standards on the School Social Worker Summary Rating Form shall develop an Individual Growth Plan designed to improve performance on specifically identified standards and elements.

Monitored Growth Plans

A school social worker shall be placed on a Monitored Growth Plan whenever he or she:

- A. Is rated "Developing" on one or more standard(s) on the School Social Worker Summary Rating Form; and
- B. Is not recommended for dismissal, demotion or nonrenewal.

A Monitored Growth Plan shall, at a minimum, identify the standards and elements to be improved, the goals to be accomplished and the activities the school social worker should undertake to achieve proficiency, and a timeline which allows the school social worker one school year to achieve Proficiency. A Monitored Growth Plan that meets these criteria shall be deemed to satisfy the requirements of N.C. Gen. Stat. § 115C-333(b).

Directed Growth Plans

A school social worker shall be placed on a Directed Growth Plan whenever he or she:

- A. Is rated
 - 1. "Not Demonstrated on any Standard on the School Social Worker Summary Rating Form; or
 - 2. Developing on one or more Standards on the School Social Worker Summary Rating Form for two sequential years, and
- B. Is not recommended for dismissal, demotion or nonrenewal.

The Directed Growth Plan shall, at a minimum, identify the standards and elements to be improved, the goals to be accomplished, the activities to be completed to achieve Proficiency, a

timeline for achieving Proficiency within one school year or such shorter time as determined by the LEA. A Directed Growth Plan that meets those criteria shall be deemed to satisfy the requirements of N.C. Gen. Stat. § 115C-333(b). North Carolina School Social Worker Evaluation Process.

Effective Dates and Effect on Licensing and Career Status

Effective with the 2013-14 school year, all school social workers in North Carolina will be evaluated using this policy unless a local board develops an alternative evaluation that is properly validated and that includes standards and criteria similar to those in the North Carolina Professional School Social Worker Standards and North Carolina School Social Worker Evaluation Process in which case the local board shall use that instrument.

Beginning School Social Workers

Effective 2013-14, beginning school social workers must be rated Proficient on all five North Carolina Professional School Social Worker Standards on the most recent School Social Worker Summary Rating Form in order to be eligible for the Standard Professional 2 License.

Probationary School Social Workers

Effective 2013-14, a principal must rate a probationary school social worker as Proficient on all five North Carolina Professional School Social Worker Standards on the most recent School Social Worker Summary Rating Form before recommending that school social worker for career status.

Career-Status School Social Workers

A career-status school social worker participates in a full evaluation process every year. This means the principal shall conduct at least three observations, including at least one formal observation and two other observations, either formal or informal, and rate all elements and all standards on the Summary Rating Form.

Purposes of the Evaluation Process

The school social worker performance evaluation process will:

- Serve as a measurement of performance for individual school social workers.
- Serve as a guide for school social workers as they reflect upon and improve their effectiveness.
- Serve as the basis for the improvement of professional practice.
- Focus the goals and objectives of schools and districts as they support, monitor, and evaluate their school social workers.
- Guide professional development programs for school social workers.
- Serve as a tool in developing coaching and mentoring programs for school social workers.
- Inform higher education institutions as they develop the content and requirements for school social worker training programs.

Responsibilities of school social workers and their evaluators, as they complete the evaluation process, are as follows:

School Social Worker Responsibilities:

- Know and understand the North Carolina Professional School Social Worker Standards.

- Understand the North Carolina School Social Worker Evaluation Process.
- Prepare for, and fully participate in, each component of the evaluation process.
- Gather data, artifacts, and evidence to support performance in relation to standards and progress in attaining goals.
- Develop and implement strategies to improve personal performance/attain goals.

Principal/Evaluator Responsibilities:

- Know and understand the North Carolina Professional School Social Worker Standards.
- Supervise the school social worker evaluation process and ensure that all steps are conducted according to the approved process.
- Identify the school social worker’s strengths and areas for improvement and make recommendations for improving performance.
- Ensure that the contents of the School Social Worker Summary Evaluation Form contain accurate information and accurately reflect the school social worker’s performance.
- Develop and supervise implementation of action plans as appropriate.

Figure 2 illustrates the components of the evaluation process.

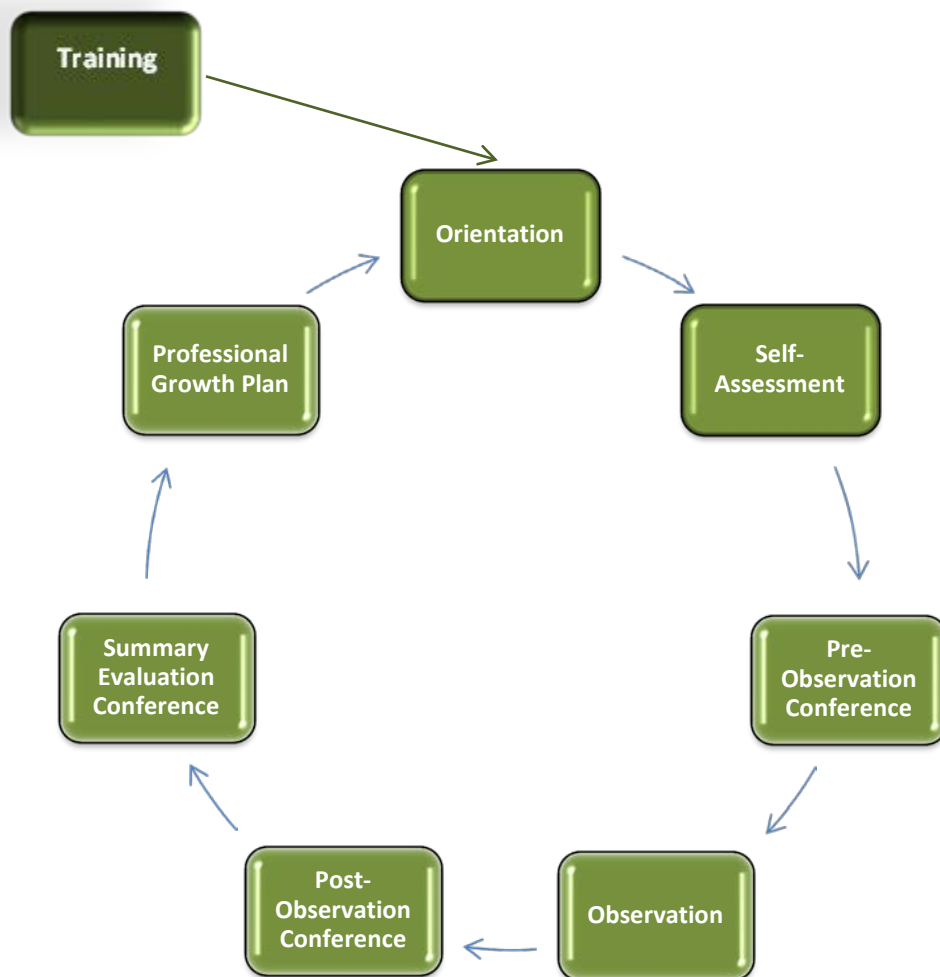


Figure 2: School Social Worker Annual Evaluation Process

Rubric for Evaluating North Carolina School Social Workers

The following rubric was developed to align with and exemplify the North Carolina Professional School Social Worker Standards I-V approved by the North Carolina State Board of Education in September 2012. The rubric should be used in conjunction with the standards descriptions. The principal will use the rubric during observations to check descriptors that describe levels of performance, and by the school social worker during self-assessment. Together, these materials form the core of the North Carolina School Social Worker Evaluation process.

After all observations have been completed, school social worker performance will be noted as follows:

- **Not Demonstrated:** School social worker did not demonstrate competence on or adequate growth toward achieving standard(s) of performance. (Note: If the Not Demonstrated rating is used, the principal/evaluator must comment about why it was used.)
- **Developing:** School social worker demonstrated adequate growth toward achieving standard(s) during the period of performance, but did not demonstrate competence on standard(s) of performance.
- **Proficient:** School social worker demonstrated basic competence on standard(s) of performance.
- **Accomplished:** School social worker exceeded basic competence on standard(s) of performance most of the time.
- **Distinguished:** School social worker consistently and significantly exceeded basic competence on standard(s) of performance.

The developing school social worker may exemplify the skills expected of a school social worker who is new to the profession or an experienced school social worker who is working in a new content area or grade level, or who needs a new skill in order to meet the standard. A proficient school social worker must exhibit the skills and knowledge described under the Developing header as well as those under Proficient. Likewise, a distinguished school social worker exhibits all of the skills and knowledge described for that element across the entire row. The Not Demonstrated rating should be used when the school social worker is performing below expectations and is not making adequate growth toward becoming proficient on the element. This rating is also used when the principal is not able to check any of the descriptors for the element being rated. If a school social worker is rated as Not Demonstrated, then a comment must be made as to why.

Completing the Rubric and the Summary Rating Form

Self-Assessment

Early in the school year, the school social worker will complete a self-assessment based on the Rubric for Evaluating North Carolina School Social Workers. The self-assessment is a personal reflection about one's professional practice. It should be completed without input from others. The purposes of the self-assessment are to provide the school social worker an opportunity to reflect on his/her capabilities with respect to achieving the state's standards of performance and to contextualize anticipated levels of performance during the school year. As a part of this process, the school social worker should consider past performance as well as the school

characteristics for the current school year. These two factors will help the school social worker articulate professional development, coaching, and mentoring needs in order to maintain or improve performance.

At the discretion of the school social worker, the self-assessment ratings may be used as the basis for discussions with the evaluator in order to clarify performance expectations, set goals, plan professional development and program changes, or provide input to the final, end-of-year ratings.

The school social worker should complete the rubric by checking descriptors that characterize professional practices in evidence as a part of his/her daily work. The school social worker should complete the self-assessment at the beginning of the school year and update it frequently throughout the year to reflect changes to either personal performance or the school context.

Completing the Rubric Based on Observations

The evaluator will complete the Rubric for Evaluating North Carolina School Social Workers during formal and informal observations, as well as through reviews of artifacts. The evaluator checks descriptors that are observed during the session/lesson, or as a result of review of artifacts and additional evidence. If the evaluator is not able to mark any of the descriptors for an element, then the Not Demonstrated column is used. In such a case, the evaluator must write a comment about the school social worker's performance and include suggestions for improvement. During a post-observation conference, the evaluator and school social worker discuss and document the descriptors on which the school social worker has demonstrated performance as well as those on which performance was not demonstrated and for which no additional evidence has been provided.

The evaluator should conduct at least one formal observation of the school social worker's performance. Additional informal observations may be conducted throughout the year to supplement information gained through the formal observation and to observe elements for which additional information is needed in order to adequately and accurately rate the school social worker's performance.

Determining Rating Levels After Completing the Rubric

The school social worker and evaluator should independently score each element within a standard to determine the level of performance for that element. The school social worker scores the rubric as a part of the self-assessment process and the evaluator scores it as a result of observations, artifact reviews, and other inputs. Each of the elements should be scored separately, and the individual element scores will determine the overall score for the standard.

Each element will be scored separately, regardless of whether the assessment is completed by the school social worker or the evaluator. The rater will then examine the individual element scores for each standard to determine the overall score for that standard. To determine individual element ratings, the rater should begin with the left-hand column and mark each descriptor that describes the performance of the school social worker during the period for which he or she is being evaluated. If the rater is not able to mark any of the descriptors for an element, then the Not Demonstrated column is used. In such a case, the rater must write a comment incorporating suggestions for improving performance.

The rating for each descriptor is the lowest rating for which all descriptors are marked and all descriptors below that rating are marked. As illustrated in the example on page 28, the school social worker would be rated as Proficient on element a, "School social workers demonstrate leadership in the school," even though at least one descriptor for Proficient, Accomplished, and Distinguished was marked. This is because Proficient is the highest rating for which all descriptors were marked and all descriptors below it were marked. Likewise, in the North Carolina School Social Worker Evaluation Process

example on page 29, the school social worker would be rated as Proficient on element b, “School social workers enhance the school social work profession,” and on each of the remaining elements. This is likely to result in an overall rating of Proficient for Standard 1.

Formal and informal observations of the school social worker’s performance should be conducted throughout the year. Overall ratings for standards should not be determined until the end of the year during the Summary Evaluation Conference. When an school social worker is rated as Developing or Not Demonstrated on any element or standard during the Summary Evaluation Conference, the evaluator should strongly encourage the school social worker to develop a goal to address the area(s) where proficiency has not been reached.

Determining the school social worker’s overall standard ratings involves determining the ratings for individual elements. The evaluator should score all elements within a standard to determine the level of performance for that standard.

Exhibit 3. Scoring the Rubric

Standard 1: School social workers demonstrate leadership.				
a. School social workers demonstrate leadership in the school. School social workers collaboratively engage all school personnel to create a professional learning community. School social workers develop and maintain a written plan of data-driven goals and strategies for effective delivery of the school social work program based on national best practices, individual school data, current relevant research findings, and the school improvement plan. School social workers provide input in the selection of professional development to impart staff with the knowledge to meet the educational needs of students. They participate in the hiring process and collaborate with their colleagues to mentor and support school social worker to improve the effectiveness of student support services..				
Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
<ul style="list-style-type: none"> ✓ Understands the value of accurate school and student data for use in the decision making process. 	<p>... and</p> <ul style="list-style-type: none"> ✓ Collaborates with school personnel to create a positive learning community. ✓ Helps identify professional development opportunities for school staff. ✓ Develops and maintains a written work plan that include data-driven goals and strategies for effective delivery of the school social work program. 	<p>... and</p> <ul style="list-style-type: none"> ☐ Uses data to determine needed changes to the work plan/ 	<p>... and</p> <ul style="list-style-type: none"> ✓ Participates in hiring, mentoring, and/or supporting other school social workers, interns, or school social work students. ☐ Collaborates and mentors colleagues to improve the effectiveness of student support services. 	

Exhibit 4. Example of How to Score the Rubric

Standard 1: School social workers demonstrate leadership.

a. School social workers demonstrate leadership in the school. School social workers collaboratively engage all school personnel to create a professional learning community. School social workers develop and maintain a written plan of data-driven goals and strategies for effective delivery of the school social work program based on national best practices, individual school data, current relevant research findings, and the School Improvement Plan. School social workers provide input in the selection of professional development to impart staff with the knowledge to meet the educational needs of students. They participate in the hiring process and collaborate with their colleagues to mentor and support school social worker to improve the effectiveness of student support services.

Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
<p>✓ Understands the value of accurate school and student data for use in the decision making process.</p>	<p>... and</p> <p>✓ Collaborates with school personnel to create a positive learning community</p> <p>✓ Helps identify professional development opportunities for school staff.</p> <p>✓ Develops and maintains a written work plan that includes data driven goals and strategies for effective delivery of the school social work program.</p>	<p>... and</p> <p>☐ Uses data to determine needed changes to the work plan.</p>	<p>... and</p> <p>✓ Participates in hiring, mentoring, and/or supporting other school social workers, interns, or school social work students.</p> <p>☐ Collaborates and mentors colleagues to improve the effectiveness of student support services.</p>	

Standard 1: School social workers demonstrate leadership.

b. School social workers enhance the social work profession. School social workers strive to enhance the social work profession. School social workers contribute to the establishment of positive working conditions in their schools, districts, state, and nation. School social workers actively participate in and advocate for decision-making structures in education and government that utilize the expertise of school social worker. School social workers communicate the goals of the school social work program to stakeholders. School social workers maintain current and appropriate resources to improve the relationship among home, school, and community. School social workers promote professional growth and collaborate with their colleagues to improve the profession.

Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
<ul style="list-style-type: none"> ✓ Understands the goals of the school social work program. ✓ Contributes to the establishment of positive working conditions. 	<p>... and</p> <ul style="list-style-type: none"> ✓ Communicates to families and/or significant adults and the school staff the goals and anticipated outcomes of the school social work program. ✓ Coordinates the provision of effective and comprehensive services to students in the school and in the community. 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Participates in decision-making structures within the school, district, and/or community. ✓ Maintains current and appropriate resources to strengthen the relationship among home, school, and community. <input type="checkbox"/> Provides in-service training on school social work services. 	<p>... and</p> <ul style="list-style-type: none"> ✓ Communicates the goals and anticipated outcomes of the school social work program to all stakeholders. ✓ Strives to enhance the profession. <input type="checkbox"/> Conducts community outreach. <input type="checkbox"/> Participates in decision making structures at state and/or national levels. 	

Standard 1: School social workers demonstrate leadership.

c. School social workers advocate for students, families, schools, and communities. School social workers advocate for positive change in policies and practices affecting student learning. School social workers support the School Improvement Plan and student academic success through developing and utilizing internal and external partnerships and resources. They participate in the implementation of initiatives to improve educational and support services.

Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
<p>✓ Understands policies and practices that impact student learning.</p>	<p>... and</p> <ul style="list-style-type: none"> ✓ Advocates for adherence to school and district policies and procedures for the benefit of students. ✓ Supports positive change in policies and practices affecting student learning. ✓ Actively participates in the implementation of initiatives to enhance student educational and support services 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Advocates for positive changes within the school and district to policies and/or practices that affect student learning. ✓ Develops and utilizes internal and external partnerships and resources. ✓ Collaborates with colleagues to develop or revise school improvement plan to adequately address school social work issues. 	<p>... and</p> <ul style="list-style-type: none"> ✓ Advocates at the state and/or national level for positive changes to policies and/or practices that affect student learning. 	

Standard 1: School social workers demonstrate leadership.

d. School social workers demonstrate high ethical standards. School social workers adhere to the laws, policies, procedures, and ethical standards of the social work profession. School social workers demonstrate ethical principles including honesty, integrity, fair treatment, and respect for others. School social workers uphold the National Association of Social Workers (NASW) Code of Ethics, revised 1999. (<http://www.socialworkers.org/pubs/code/code.asp>) The Code of Ethics for North Carolina Educators (effective June 1, 1997) and the Standards for Professional Conduct adopted April 1, 1998.

Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
<p>✓ Adheres to the laws, policies, procedures, and ethical standards of the social work profession.</p> <p>Understands the:</p> <p>✓ National Association of Social Workers <i>Code of Ethics</i>.</p> <p>✓ <i>Code of Ethics for North Carolina Educators</i> (effective June 1, 1997)</p> <p>✓ <i>Standards for the Professional Conduct</i> adopted April 1, 1998</p>	<p>... and</p> <p><input type="checkbox"/> Demonstrates high ethical standards.</p> <p><input type="checkbox"/> Regularly participates in ethics training and/or education.</p> <p>Upholds the:</p> <p><input type="checkbox"/> National Association of Social Workers <i>Code of Ethics</i>.</p> <p><input type="checkbox"/> <i>Code of Ethics for North Carolina Educators</i> (effective June 1, 1997)</p> <p><input type="checkbox"/> <i>Standards for the Professional Conduct</i> adopted April 1, 1998</p>	<p>... and</p> <p><input type="checkbox"/> Encourages colleagues to uphold the NC and National Association of Social Workers codes of ethics.</p> <p><input type="checkbox"/> Maintains currency on ethical issues related to standards for professional conduct.</p>	<p>... and</p> <p>✓ Provides professional development on ethics</p> <p><input type="checkbox"/> Contributes to the development of policies and/or protocols related to ethics</p>	

Examples of Artifacts that may be used to support ratings:

- Documentation of improvement and/or development and implementation of the school improvement plan
- Use of data to guide service delivery
- Professional association membership and activities
- Participation in Professional Learning Communities
- Initiation and facilitation of Child and Family Team meetings
- Minutes and rosters from meetings
- Follow-up information provided to colleagues
- Written work plan
- Presentation materials developed for school, district, state, or national presentations
- Correspondence and other written communications
- Case notes
- Reports of services provided
- Satisfaction surveys
- Training agenda, certificate, reading material for ethics training or education
-
-
-
-

Evaluator Comments: (Required for all “Not Evident” ratings and recommended for all others.)

Comments of Person Being Evaluated: (Optional)

Exhibit 5. Example of Marking the Summary Rating Form

Summary Rating Form for School Social Workers	Not Proficient	Developing	Proficient	Accomplish	Distinguished
Standard I: School social workers demonstrate leadership.					
a. Demonstrates leadership in the school.			✓	✓	
b. Enhances the social work profession.			✓		
c. Advocates for students, families, schools, and communities.			✓		
d. Demonstrates high ethical standards.			✓		
Overall Rating for Standard I					
Standard II: School social workers promote a respectful environment for diverse populations.					
a. Provides an environment in which each student has a positive, nurturing relationship with caring adults.			✓		
b. Embrace diversity in the school, home, community, and world.				✓	
c. Treats students as individuals.			✓		
d. Provides services that benefit students with special needs.					
e. Works collaboratively with families and significant adults in the lives of students.					
Overall Rating for Standard II					
Standard III: School social workers apply the skills and knowledge of their profession within educational settings					
a. Delivers comprehensive services unique to their specialty area.				✓	
b. Possesses effective communication skills.			✓		
c. Recognizes the interconnectedness of academic, social, emotional, and psychological development.			✓		
d. Facilitates student acquisition of 21 st Century skills.				✓	
Overall Rating for Standard III					
Standard IV: School social workers support student learning.					
a. Uses a variety of strengths-based methods.				✓	
b. Helps students develop critical thinking and problem-solving skills..			✓		
c. Supports students as they develop leadership qualities.			✓		
Overall Rating for Standard IV					
Standard V: School social workers actively reflect on their practice.					
a. Analyzes student learning.					✓
b. Links professional growth to their professional goals.					✓
c. Functions effectively in a complex, dynamic environment.					
Overall Rating for Standard V					

Glossary

Action Plan—A plan developed by a principal/supervisor with input from the school social worker for the purpose of articulating specific actions and outcomes needed in order to improve the school social worker’s performance. Action plans are developed and administrated under guidelines provided by each LEA.

Artifact—A product resulting from a school social worker’s work. Artifacts are natural by-products of a y’s work and are not created for the purpose of satisfying evaluation requirements. Artifacts are used only when the evaluator and y disagree on the final rating. School social workers may use them as exemplars of their work. Examples of artifacts include these:

1. **Daily Plans**—School social worker’s daily plans that demonstrate integration of 21st Century skills and coverage of North Carolina’s Standard Course of Study.
2. **Professional Development**—Staff development, based on research, data, practice and reflection that focuses on deepening knowledge and pedagogical skills in a collegial and collaborative environment.
3. **Student Achievement Data**—Student achievement/testing data available from the North Carolina School Report Card (see www.ncschoolreportcard.org).
4. **Student Dropout Data**—Data about grade 9–12 students who drop out of high school. (See www.ncpublicschools.org/research/dropouts/reports).
5. **School Improvement Plan**—A plan that includes strategies for improving student performance, how and when improvements will be implemented, use of state funds, requests for waivers, etc. Plans are in effect for no more than three years. School social workers should be able to demonstrate their participation in the development of the plan and/or their active support of the plan.
6. **School Improvement Team**—A team made up of the school executive and representatives of administration, instructional personnel, instructional support personnel, school social worker, and parents of children enrolled in the school. The team’s purpose is to develop a school improvement plan to strengthen student performance.

Code of Ethics for North Carolina Educators—The standards of professional conduct required of educators. (See Appendix A.)

Code of Professional Practice and Conduct for North Carolina Educators—The uniform standards of professional conduct for licensed professional educators. (See Appendix A.)

Data—Factual information used as the basis for reasoning, discussion, or planning.

Evaluator—The person responsible for overseeing and completing the school social worker evaluation process. This is usually the school principal, but it may be someone who is designated by the principal to assume these responsibilities.

Evidence—Documents that demonstrate or confirm the work of the person being evaluated and support the rating on a given element.

Formal Evaluation Process—The process of evaluating a school social worker using the following essential components:

1. **Training** – Before participating in the evaluation process, all school social workers, principals, and peer evaluators must complete training on the evaluation process.
2. **Orientation**—Within two weeks of a school social worker’s first day of work in any school year, the principal will provide the school social worker with a copy of, or directions for, obtaining access to a copy of the following: a) Rubric for Evaluating North Carolina school social workers, b) state board policy governing evaluations, and c) a schedule for completing all the components of the evaluation process. Copies may be provided by electronic means. While a formal meeting is not required, supervisors may choose to hold this orientation as a group meeting at the beginning of each school year and/or individually as staff are added throughout the year.
3. **School Social Worker Self-Assessment** – Using the Rubric for Evaluating North Carolina School Social Workers, the school social worker shall rate his or her own performance at the beginning of the year and reflect on his or her performance throughout the year. This will also be used during the post-observation conference.
4. **Pre-Observation Conference**—Before the first formal observation, the evaluator shall meet with the school social worker to discuss the school social worker’s self-assessment based on the Rubric for Evaluating North Carolina School Social Workers, the school social worker’s most recent professional growth plan, and the session(s) or activity(ies) to be observed. The school social worker will provide the evaluator with a written description of the session(s). The goal of this conference is to prepare the evaluator for the observation. Pre-Observation conferences are not required for subsequent observations during the same school year.
5. **Observations:**
 - a. **Formal Observation**— An observation of the school social worker engaged in a session with students and/or families or during leadership activities, training sessions, or meetings. This formal observation should last at least forty-five (45) minutes or the duration of the task being performed by the school social worker.
 - b. **Informal Observation**—An informal observation may take place as an evaluator visits classrooms, helps a student, or “drops in” while a school social worker is counseling an individual student or conducting a group session.
6. **Post-Observation Conference**—During the post-observation conference, the evaluator and school social worker shall discuss and document on the rubric the strengths and weaknesses of the school social worker’s performance during the observed session/activity.
7. **Summary Evaluation Conference and Summary Rating Form**—The conference between the evaluator and school social worker to discuss the school social worker’s self-

assessment, the school social worker's most recent Professional Development Plan, the components of the North Carolina school social worker Evaluation Process completed during the year, classroom observations, artifacts submitted or collected during the evaluation process and other evidence of the school social worker's performance on the rubric. At the conclusion of the process, the evaluator shall complete the School Social Worker Summary Rating Form.

8. **Professional Development Plans** – Every school social worker will use a Professional Development Plan to identify goals and strategies to improve performance.
9. **Performance Rating Scale**–The following rating scale will be used for determining the final evaluation rating for North Carolina school social workers:
 - a. **Developing:** School social worker demonstrated adequate growth toward achieving standard(s) during the period of performance, but did not demonstrate competence on standard(s) of performance.
 - b. **Proficient:** School social worker demonstrated basic competence on standard(s) of performance.
 - c. **Accomplished:** School social worker exceeded basic competence on standard(s) of performance most of the time.
 - d. **Distinguished:** School social worker consistently and significantly exceeded basic competence on standard(s) of performance.
 - e. **Not Demonstrated:** School social worker did not demonstrate competence on or adequate growth toward achieving standard(s) of performance. (Note: If the “Not Demonstrated” rating is used, the Evaluator must comment about why it was used.)

Probationary School Social Workers – School social workers who have not yet been granted Career Status in their current North Carolina school district.

Rubric for Evaluating North Carolina School Social Workers – A composite matrix of the following standards, elements, and descriptors of the North Carolina Professional School Social Worker Standards:

- a. **Performance Standard** – The distinct aspect of school social work or realm of activities which form the basis for the evaluation of a school social worker.
- b. **Performance Elements** – The subcategories of performance embedded within the performance standard.
- c. **Performance Descriptors** – The specific performance responsibilities embedded within the components of each performance standard.

School Social Worker – A person who holds a valid North Carolina school social work certificate and is employed to provide social work services within North Carolina's public school system.

School Executives – Principals and assistant principals licensed to work in North Carolina.

Self-assessment –Personal reflection about one’s professional practice to identify strengths and areas for improvement conducted without input from others. Purposes of the self-assessment are to clarify performance expectations, guide discussions about goal-setting and professional development and program needs, and provide input to the final ratings.

Training – State-approved and sponsored training on the school social work rubric and evaluation process required of all school social workers and individuals responsible for their evaluation.

Twenty-first Century content - Global awareness, financial, economic, business, and entrepreneurial literacy; civic literacy; and health and wellness awareness.

Twenty-first Century life skills - school social workers incorporate 21st Century life skills deliberately, strategically, and broadly into their services. These skills include leadership, ethics, accountability, adaptability, personal productivity, personal responsibility, interpersonal skills, self-direction, and social responsibility.

Appendix A

Code of Ethics for North Carolina Educators

Code of Professional Practice and Conduct for North Carolina Educators

North Carolina Social Worker Certification and Licensure Board

Code of Ethics of the National Association of Social Workers

Code of Ethics for North Carolina Educators

Adopted by the State Board of Education June 5, 1997

Preamble

The purpose of this Code of Ethics is to define standards of professional conduct. The responsibility to teach and the freedom to learn, and the guarantee of equal opportunity for all are essential to the achievement of these principles. The professional educator acknowledges the worth and dignity of every person and demonstrates the pursuit of truth and devotion to excellence, acquires knowledge, and nurtures democratic citizenship. The educator strives to maintain the respect and confidence of colleagues, students, parents and legal guardians, and the community, and to serve as an appropriate role model. The educator exemplifies a commitment to the teaching and learning processes with accountability to the students, maintains professional growth, exercises professional judgment, and personifies integrity. To uphold these commitments, the educator:

I. Commitment to the Student

- A. Protects students from conditions within the educator's control that circumvent learning or are detrimental to the health and safety of students.
- B. Maintains an appropriate relationship with students in all settings; does not encourage, solicit, or engage in a sexual or romantic relationship with students, nor touch a student in an inappropriate way for personal gratification, with intent to harm, or out of anger.
- C. Evaluates students and assigns grades based upon the students' demonstrated competencies and performance.
- D. Disciplines students justly and fairly and does not deliberately embarrass or humiliate them.
- E. Holds in confidence information learned in professional practice except for professional reasons or in compliance with pertinent regulations or statutes.
- F. Refuses to accept significant gifts, favors, or additional compensation that might influence or appear to influence professional decisions or actions.

II. Commitment to the School and School System

- A. Utilizes available resources to provide a classroom climate conducive to learning and to promote learning to the maximum possible extent.
- B. Acknowledges the diverse views of students, parents and legal guardians, and colleagues as they work collaboratively to shape educational goals, policies, and decisions; does not proselytize for personal viewpoints that are outside the scope of professional practice.
- C. Signs a contract in good faith and does not abandon contracted professional duties without a substantive reason
- D. Participates actively in professional decision-making process and supports the expression of professional opinions and judgments by colleagues in decision making processes or due process proceedings.
- E. When acting in an administrative capacity:
 - 1. Acts fairly, consistently, and prudently in the exercise of authority with colleagues, subordinates, students, and parents and legal guardians.
 - 2. Evaluates the work of other educators using appropriate procedures and established statutes and regulations.
 - 3. Protects the rights of others in the educational setting, and does not retaliate, coerce, or intentionally intimidate others in the exercise of rights protected by law.
 - 4. Recommends persons for employment, promotion, or transfer according to their professional qualifications, the needs and policies of the LEA, and according to the law.

III. Commitment to the Profession

- A. Provides accurate credentials and information regarding licensure or employment and does not knowingly assist others in providing untruthful information.
- B. Takes action to remedy an observed violation of the Code of Ethics for North Carolina Educators and promotes understanding of the principles of professional ethics.
- C. Pursues growth and development in the practice of the profession and uses that knowledge in improving the educational opportunities, experiences, and performance of students and colleagues.

Code of Professional Practice and Conduct for North Carolina Educators

The North Carolina State Board of Education (SBE) has adopted rules to establish uniform standards of professional conduct for licensed professional educators throughout the state. These rules have been incorporated into Title 16 of the North Carolina Administrative Code and have the effect of law. These rules shall be the basis for State Board of Education review of performance of professional educators and are binding on every person licensed by the State Board of Education. Violation of the standards shall subject an educator to investigation and possible disciplinary action by the State Board of Education or local school district.

SECTION .0600 - Code of Professional Practice and Conduct for North Carolina Educators
16 NCAC 6C.0601 –

The Purpose and Applicability of the Rules of Professional Conduct for Educators

The purpose of these rules is to establish and uphold uniform standards of professional conduct for licensed professional educators throughout the State. These rules shall be binding on every person licensed by the SBE, hereinafter referred to as “educator” or “professional educator,” and the possible consequences of any willful breach shall include license suspension or revocation. The prohibition of certain conduct in these rules shall not be interpreted as approval of conduct not specifically cited.

History Note: Authority G.S. 115C-295.3;
Eff. April 1, 1998.

16 NCAC 6C.0602 - The Standards of Professional Conduct for NC Educators

The standards listed in this Section shall be generally accepted for the education profession and shall be the basis for State Board review of performance of professional educators. These standards shall establish mandatory prohibitions and requirements for educators. Violation of these standards shall subject an educator to investigation and disciplinary action by the SBE or LEA.

Professional educators shall adhere to the standards of professional conduct contained in this Rule. Any intentional act or omission that violates these standards is prohibited.

1. Generally recognized professional standards. The educator shall practice the professional standards of federal, state, and local governing bodies.
2. Personal conduct. The educator shall serve as a positive role model for students, parents, and the community. Because the educator is entrusted with the care and education of small children and adolescents, the educator shall demonstrate a high standard of personal character and conduct.
3. Honesty. The educator shall not engage in conduct involving dishonesty, fraud, deceit, or misrepresentation in the performance of professional duties including the following:
 - a. Statement of professional qualifications;
 - b. Application or recommendation for professional employment, promotion, or licensure;
 - c. Application or recommendation for college or university admission, scholarship, grant, academic award, or similar benefit;
 - d. Representation of completion of college or staff development credit;
 - e. Evaluation or grading of students or personnel;

- f. Submission of financial or program compliance reports submitted to state, federal, or other governmental agencies;
 - g. Submission of information in the course of an official inquiry by the employing LEA or the SBE related to facts of unprofessional conduct, provided, however, that an educator shall be given adequate notice of the allegations and may be represented by legal counsel; and
 - h. Submission of information in the course of an investigation by a law enforcement agency, child protective services, or any other agency with the right to investigate, regarding school-related criminal activity; provided, however, that an educator shall be entitled to decline to give evidence to law enforcement if such evidence may tend to incriminate the educator as that term is defined by the Fifth Amendment to the U.S. Constitution.
4. Proper remunerative conduct. The educator shall not solicit current students or parents of students to purchase equipment, supplies, or services from the educator in a private remunerative capacity. An educator shall not tutor for remuneration students currently assigned to the educator's classes, unless approved by the local superintendent. An educator shall not accept any compensation, benefit, or thing of value other than the educator's regular compensation for the performance of any service that the educator is required to render in the course and scope of the educator's employment. This Rule shall not restrict performance of any overtime or supplemental services at the request of the LEA; nor shall it apply to or restrict the acceptance of gifts or tokens of minimal value offered and accepted openly from students, parents, or other persons in recognition or appreciation of service.
 5. Conduct with students. The educator shall treat all students with respect. The educator shall not commit any abusive act or sexual exploitation with, to, or in the presence of a student, whether or not that student is or has been under the care or supervision of that educator, as defined below:
 - a. Any use of language that is considered profane, vulgar, or demeaning;
 - b. Any sexual act;
 - c. Any solicitation of a sexual act, whether written, verbal, or physical;
 - d. Any act of child abuse, as defined by law;
 - e. Any act of sexual harassment, as defined by law; and
 - f. Any intentional solicitation, encouragement, or consummation of a romantic or physical relationship with a student, or any sexual contact with a student. The term "romantic relationship" shall include dating any student.
 6. Confidential information. The educator shall keep in confidence personally identifiable information regarding students or their family members that has been obtained in the course of professional service, unless disclosure is required or permitted by law or professional standards, or is necessary for the personal safety of the student or others.
 7. Rights of others. The educator shall not willfully or maliciously violate the constitutional or civil rights of a student, parent/legal guardian, or colleague.
 8. Required reports. The educator shall make all reports required by Chapter 115C of the North Carolina General Statutes.
 9. Alcohol or controlled substance abuse. The educator shall not:
 - a. Be under the influence of, possess, use, or consume on school premises or at a school-sponsored activity a controlled substance as defined by N.C. Gen. Stat./90-95, the Controlled Substances Act, without a prescription authorizing such use;
 - b. Be under the influence of, possess, use, or consume an alcoholic beverage or a controlled substance on school premises or at a school-sponsored activity involving students; or
 - c. Furnish alcohol or a controlled substance to any student except as indicated in the professional duties of administering legally prescribed medications.
 - d. Compliance with criminal laws. The educator shall not commit any act referred to in G.S. 115C-332 and any felony under the laws of the United States or of any state.

10. Public funds and property. The educator shall not misuse public funds or property, funds of a school-related organization, or colleague's funds. The educator shall account for funds collected from students, colleagues, or parents/legal guardians. The educator shall not submit fraudulent requests for reimbursement, expenses, or pay.
11. Scope of professional practice. The educator shall not perform any act as an employee in a position for which licensure is required by the rules of the SBE or by Chapter 115C or the North Carolina General Statutes during any period in which the educator's license has been suspended or revoked.
12. Conduct related to ethical violations. The educator shall not directly or indirectly use or threaten to use any official authority or influence in any manner that tends to discourage, restrain, interfere with, coerce, or discriminate against any subordinate or any licensee who in good faith reports, discloses, divulges, or otherwise brings to the attention of an LEA, the SBE, or any other public agency authorized to take remedial action, any facts or information relative to actual or suspected violation of any law regulating the duties of persons serving in the public school system including but not limited to these Rules.

History Note: Authority G.S. 115C-295.3;
Eff. May 1, 1998.

North Carolina Social Worker Certification and Licensure Board

SECTION .0500 - ETHICAL GUIDELINES

.0501 PURPOSE AND SCOPE

(a) Ethical principles affecting the practice of social work are rooted in the basic values of society and the social work profession. The principal objective of the profession of social work is to enhance the dignity and well-being of each individual who seeks its services. It does so through the use of social work theory and intervention methods including case management, advocacy, community organization, administration, and psychotherapy.

(b) The primary goal of the Rules in this Section is to set forth principles to guide social workers' conduct in their profession. Violation of these Rules may be considered gross unprofessional conduct and may constitute dishonest practice or incompetence in the practice of social work. Such violations may result in disciplinary action by the Board.

(c) The Rules in this Section serve as a standard for social workers in their various professional roles, relationships and responsibilities. Social workers shall consider all the principles in the Rules in this Section that bear upon any situation in which ethical judgment is to be exercised, and shall select a course of action consistent with the Rules in this Section.

(d) Upon approval of certification or licensure, each applicant shall review the Rules in this Section and return a signed statement to the Board agreeing to abide by these Rules.

History Note: Authority G S. 90B-6; 90B-11;

Eff. August 1, 1987;

Amended Eff. March 1, 1994;

Temporary Amendment Eff. October 1, 1999;

Amended Eff. September 1, 2005; July 1, 2000.

.0502 PRACTICE AND CONDUCT [REPEALED]

History Note: Authority G.S. 8-53.7; 90B-2;

Eff. August 1, 1987;

Repealed Eff. March 1, 1994.

.0503 GENERAL PROFESSIONAL RESPONSIBILITIES

(a) Social workers shall practice only within their sphere of competence. They shall accurately represent their abilities, education, training, credentials, and experience. They shall engage in continuing professional education to maintain and enhance their competence.

(b) As employees of institutions or agencies, social workers are responsible for remaining alert to and attempting to moderate institutional pressures or policies that conflict with the standards of their profession. If such conflict arises, social workers' responsibility shall be to uphold the ethical standards of their profession.

(c) Social workers shall not practice, facilitate or collaborate with any form of discrimination on the basis of race, sex, sexual orientation, age, religion, socioeconomic status, or national origin.

(d) Social workers shall practice their profession in compliance with legal standards.

(e) Social workers shall not engage in settlement agreements that preclude reporting of ethical misconduct to the Board.

History Note: Authority G.S. 90B-6; 90B-11; S.L. 1999-313;

Eff. March 1, 1994;

Temporary Amendment Eff. October 1, 1999.

Amended Eff. April 1, 2001.

.0504 RESPONSIBILITIES IN PROFESSIONAL RELATIONSHIPS

(a) Social workers shall not misuse their professional relationships sexually, financially or for any other personal advantage. They shall maintain this standard of conduct toward all who are professionally associated with them such as clients, colleagues, supervisees, employees, students and research participants.

(b) Social workers shall inform clients of the extent and nature of services available to them as well as the limits, rights, opportunities and obligations associated with service which might affect the client's decision to enter into or continue the relationship.

(c) Social workers shall obtain consent (agreement to participate in social work intervention) from all clients or their legally authorized representative except when laws require intervention to insure client's and community's safety and protection.

(d) Social workers shall terminate a professional relationship with a client when, after careful evaluation and assessment, it is determined that the client is not likely to benefit from continued services or the services are no longer needed. The social worker who anticipates the termination or interruption of services shall give reasonable notice to the client. The social worker shall provide referrals as needed or upon the request of the client. A social worker shall not terminate a professional relationship for the purpose of beginning a personal or business relationship with a client.

(e) Social workers shall respect the integrity, protect the welfare, and maximize self-determination of clients they serve. They shall avoid entering treatment relationships in which their professional judgment will be compromised by the prior association with or knowledge of a client. Examples include treatment of one's family members; close friends; associates; employees; or others whose welfare could be jeopardized by such a dual relationship.

(f) Social workers shall not initiate, and shall avoid when possible, personal relationships or dual roles with current clients, or with any former clients whose feelings toward them may still be derived from or influenced by the former professional relationship. When a social worker may not avoid a personal relationship with a client, the social worker shall take appropriate precautions, such as documented discussion with the client about the relationship, consultation or supervision to ensure that the social worker's objectivity and professional judgment are not impaired. In instances when dual or multiple relationships are unavoidable, social workers shall set clear and culturally sensitive boundaries.

(g) Social workers shall not engage in sexual activities with clients or former clients.

(h) Social workers shall be solely responsible for acting in accordance with G.S. 90B and these Rules in regard to relationships with clients or former clients. A client's or former client's initiation of a personal, sexual or business relationship shall not be a defense by the social worker for failing to act in accordance with G.S. 90B and these Rules.

History Note: Authority G.S. 90B-6; 90B-11;

Eff. March 1, 1994.

Amended Eff. April 1, 2001

.0505 RELATIONSHIPS WITH COLLEAGUES

Social workers shall act with integrity in their relationships with colleagues and other professionals. They shall know the areas of competence of other professionals and shall cooperate with them in serving clients.

- (1) The social worker shall treat with respect and represent accurately the views, qualifications and findings of colleagues, and when expressing judgment on these matters shall do so fairly and through appropriate channels.
- (2) In referring clients, social workers shall refer to professionals who are recognized members of their own disciplines and are competent to carry out the services required.
- (3) If a social worker's services are sought by an individual who is already receiving similar services from another professional, consideration for the client's welfare shall be paramount. It requires the social worker to proceed with great caution, carefully considering both the existing professional relationship and the therapeutic issues involved.
- (4) Social workers shall accept their responsibility to provide competent professional guidance to colleagues, employees, and students. They shall foster working conditions that provide fairness, privacy and protection from physical or mental harm. They shall evaluate fairly the performance of those under their supervision, and share evaluations with supervisees. They shall not abuse the power inherent in their position.
- (5) Social workers shall take appropriate measures to discourage, prevent, expose and correct unethical or incompetent behavior by colleagues, but shall take equally appropriate steps to assist and defend colleagues unjustly charged with such conduct.

History Note: Authority G.S. 90B-6; 90B-11;
Eff. March 1, 1994.

.0506 REMUNERATION

- (a) Financial arrangements shall be explicitly established and agreed upon by the social worker and the client in the initial stage of intervention.
- (b) Social workers shall not give or receive any fee or other consideration to or from a third party for referrals. Clinical social workers may, however, participate in contractual arrangements in which they agree to discount their fees.
- (c) Social workers employed by an agency or clinic and also engaged in private practice shall conform to agency regulations regarding private practice.
- (d) Legal measures to collect fees may be taken if a client does not pay for services as agreed, provided notice of such action is given beforehand.

History Note: Authority G.S. 90B-6; 90B-11;
Eff. March 1, 1994.
Amended Eff. April 1, 2001.

.0507 CONFIDENTIALITY AND RECORD KEEPING

- (a) Social workers shall protect the client's right to confidentiality as established by law.
- (b) Social workers shall reveal confidential information to others only with the informed consent of the client, except in those circumstances in which not to do so would violate other laws or would result in clear and imminent danger to the client or others. Unless specifically contraindicated by such situations, clients shall be informed and written consent shall be obtained from clients, or their legally authorized representative, before confidential information is revealed.
- (c) When confidential information is used for the purpose of professional education, research, or consultation, the identity of the client shall be concealed. Presentations shall be limited to material necessary for the professional purpose.
- (d) Social workers shall maintain records adequate to provide proper diagnosis and treatment and to fulfill other professional responsibilities.

(e) Social workers shall take precautions to protect the confidentiality of material stored or transmitted through computers, electronic mail, facsimile machines, telephones, telephone answering machines, and all other electronic or computer technology. When using these technologies, disclosure of identifying and confidential information regarding current client(s) or former client(s) shall be avoided whenever possible.

History Note: Authority G.S. 90B-6; 90B-11;

Eff. March 1, 1994;

Temporary Amendment Eff. October 1, 1999;

Temporary Amendment Expired July 28, 2000;

Amended Eff. April 1, 2001.

.0508 PURSUIT OF RESEARCH AND SCHOLARLY ACTIVITIES

In planning, conducting and reporting a study, the investigator shall make a careful evaluation of its ethical acceptability, taking into account the following additional principles for research with human subjects. To the extent that this appraisal, weighing scientific and humane values, suggests a compromise of ethical principles, the investigator shall protect the rights of the research participants.

- (1) Social workers shall obtain appropriate authorization from administrative superiors and clients who agree to be subjects in the study. Social workers shall also acknowledge accurately any other persons who contribute in a scholarly manner to their research in any reports concerning their research, whether published or unpublished.
- (2) An agreement shall be established between the investigator and the research participant clarifying their roles and responsibilities.
- (3) The rights of an individual to decline to participate in or withdraw from the research shall be respected and the participant shall not be penalized for such action.
- (4) The investigator shall inform the participant of all the features of the research that would affect his/her participation in the study.
- (5) Information obtained about the participant during the course of the study shall be confidential unless informed consent for release of information is obtained in advance.
- (6) Research findings shall be presented accurately. Social workers shall not distort or misrepresent research.

History Note: Authority G.S. 90B-6; 90B-11;

Eff. March 1, 1994;

Temporary Amendment Eff. October 1, 1999.

Amended Eff. April 1, 2001.

.0509 PUBLIC STATEMENTS

(a) Public statements, announcements of services and promotional activities of social workers serve the purpose of providing sufficient information to aid consumers in making informed judgments and choices. Social workers shall state accurately, objectively and without misrepresentation their professional qualifications, affiliations and functions as well as those of the institutions or organizations with which they or their statement may be associated. They shall correct misrepresentations by others with respect to these matters.

(b) In announcing availability for professional services, a social worker shall use his or her name, type and level(s) of certification and licensure; and may use highest relevant academic degree from an accredited institution; specialized post-graduate training; address and telephone number; office hours; type of services provided; appropriate fee information; foreign languages spoken; and policy with regard to third-party payments.

(c) Social workers shall not offer to perform any service beyond the scope permitted by law or beyond the scope of their competence. They shall not engage in any form of advertising which is false, fraudulent, deceptive, or misleading. They shall neither solicit nor use recommendations or testimonials from clients.

(d) Social workers shall respect the rights and reputations of professional organizations with which they are affiliated. They shall not falsely imply sponsorship or certification by such organizations. When making public statements, the social worker shall make clear which are personal opinions and which are authorized statements on behalf of an organization.

(e) A social worker shall display his or her license or certificate at the social worker's primary place of practice as required by G.S. 90B-15.

History Note: Authority G.S. 90B-6; 90B-11;

Eff. March 1, 1994;

Temporary Amendment Eff. October 1, 1999;

Amended Eff. January 1, 2009; July 1, 2000.

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Code of Ethics of the National Association of Social Workers

Approved by the 1996 NASW Delegate Assembly and revised by the 2008 NASW Delegate Assembly

The 2008 NASW Delegate Assembly approved the following revisions to the NASW Code of Ethics:

1.05 Cultural Competence and Social Diversity

(c) Social workers should obtain education about and seek to understand the nature of social diversity and oppression with respect to race, ethnicity, national origin, color, sex, sexual orientation, gender identity or expression, age, marital status, political belief, religion, immigration status, and mental or physical disability.

2.01 Respect

(a) Social workers should treat colleagues with respect and should represent accurately and fairly the qualifications, views, and obligations of colleagues.

(b) Social workers should avoid unwarranted negative criticism of colleagues in communications with clients or with other professionals. Unwarranted negative criticism may include demeaning comments that refer to colleagues' level of competence or to individuals' attributes such as race, ethnicity, national origin, color, sex, sexual orientation, gender identity or expression, age, marital status, political belief, religion, immigration status, and mental or physical disability.

4.02 Discrimination

Social workers should not practice, condone, facilitate, or collaborate with any form of discrimination on the basis of race, ethnicity, national origin, color, sex, sexual orientation, gender identity or expression, age, marital status, political belief, religion, immigration status, or mental or physical disability.

6.04 Social and Political Action

(d) Social workers should act to prevent and eliminate domination of, exploitation of, and discrimination against any person, group, or class on the basis of race, ethnicity, national origin, color, sex, sexual orientation, gender identity or expression, age, marital status, political belief, religion, immigration status, or mental or physical disability.

Preamble

The primary mission of the social work profession is to enhance human wellbeing and help meet the basic human needs of all people, with particular attention to the needs and empowerment of people who are vulnerable, oppressed, and living in poverty. A historic and defining feature of social work is the profession's focus on individual wellbeing in a social context and the wellbeing of society. Fundamental to social work is attention to the environmental forces that create, contribute to, and address problems in living.

Social workers promote social justice and social change with and on behalf of clients. "Clients" is used inclusively to refer to individuals, families, groups, organizations, and communities. Social workers are sensitive to cultural and ethnic diversity and strive to end discrimination, oppression, poverty, and other forms of social injustice. These activities may be in the form of direct practice, community organizing, supervision, consultation administration, advocacy, social

and political action, policy development and implementation, education, and research and evaluation. Social workers seek to enhance the capacity of people to address their own needs. Social workers also seek to promote the responsiveness of organizations, communities, and other social institutions to individuals' needs and social problems.

The mission of the social work profession is rooted in a set of core values. These core values, embraced by social workers throughout the profession's history, are the foundation of social work's unique purpose and perspective:

- service
- social justice
- dignity and worth of the person
- importance of human relationships
- integrity
- competence.

This constellation of core values reflects what is unique to the social work profession. Core values, and the principles that flow from them, must be balanced within the context and complexity of the human experience.

Purpose of the NASW Code of Ethics

Professional ethics are at the core of social work. The profession has an obligation to articulate its basic values, ethical principles, and ethical standards. The *NASW Code of Ethics* sets forth these values, principles, and standards to guide social workers' conduct. The *Code* is relevant to all social workers and social work students, regardless of their professional functions, the settings in which they work, or the populations they serve.

The *NASW Code of Ethics* serves six purposes:

1. The *Code* identifies core values on which social work's mission is based.
2. The *Code* summarizes broad ethical principles that reflect the profession's core values and establishes a set of specific ethical standards that should be used to guide social work practice.
3. The *Code* is designed to help social workers identify relevant considerations when professional obligations conflict or ethical uncertainties arise.
4. The *Code* provides ethical standards to which the general public can hold the social work profession accountable.
5. The *Code* socializes practitioners new to the field to social work's mission, values, ethical principles, and ethical standards.
6. The *Code* articulates standards that the social work profession itself can use to assess whether social workers have engaged in unethical conduct. NASW has formal procedures to adjudicate ethics complaints filed against its members.* In subscribing to this *Code*, social workers are required to cooperate in its implementation, participate in NASW adjudication proceedings, and abide by any NASW disciplinary rulings or sanctions based on it.

The *Code* offers a set of values, principles, and standards to guide decision making and conduct when ethical issues arise. It does not provide a set of rules that prescribe how social workers should act in all situations. Specific applications of the *Code* must take into account the context in

which it is being considered and the possibility of conflicts among the *Code's* values, principles, and standards. Ethical responsibilities flow from all human relationships, from the personal and familial to the social and professional.

Further, the *NASW Code of Ethics* does not specify which values, principles, and standards are most important and ought to outweigh others in instances when they conflict. Reasonable differences of opinion can and do exist among social workers with respect to the ways in which values, ethical principles, and ethical standards should be rank ordered when they conflict. Ethical decision making in a given situation must apply the informed judgment of the individual social worker and should also consider how the issues would be judged in a peer review process where the ethical standards of the profession would be applied.

Ethical decision making is a process. There are many instances in social work where simple answers are not available to resolve complex ethical issues. Social workers should take into consideration all the values, principles, and standards in this *Code* that are relevant to any situation in which ethical judgment is warranted. Social workers' decisions and actions should be consistent with the spirit as well as the letter of this *Code*.

In addition to this *Code*, there are many other sources of information about ethical thinking that may be useful. Social workers should consider ethical theory and principles generally, social work theory and research, laws, regulations, agency policies, and other relevant codes of ethics, recognizing that among codes of ethics social workers should consider the *NASW Code of Ethics* as their primary source. Social workers also should be aware of the impact on ethical decision making of their clients' and their own personal values and cultural and religious beliefs and practices. They should be aware of any conflicts between personal and professional values and deal with them responsibly. For additional guidance social workers should consult the relevant literature on professional ethics and ethical decision making and seek appropriate consultation when faced with ethical dilemmas. This may involve consultation with an agency-based or social work organization's ethics committee, a regulatory body, knowledgeable colleagues, supervisors, or legal counsel.

Instances may arise when social workers' ethical obligations conflict with agency policies or relevant laws or regulations. When such conflicts occur, social workers must make a responsible effort to resolve the conflict in a manner that is consistent with the values, principles, and standards expressed in this *Code*. If a reasonable resolution of the conflict does not appear possible, social workers should seek proper consultation before making a decision.

The *NASW Code of Ethics* is to be used by NASW and by individuals, agencies, organizations, and bodies (such as licensing and regulatory boards, professional liability insurance providers, courts of law, agency boards of directors, government agencies, and other professional groups) that choose to adopt it or use it as a frame of reference. Violation of standards in this *Code* does not automatically imply legal liability or violation of the law. Such determination can only be made in the context of legal and judicial proceedings. Alleged violations of the *Code* would be subject to a peer review process. Such processes are generally separate from legal or administrative procedures and insulated from legal review or proceedings to allow the profession to counsel and discipline its own members.

A code of ethics cannot guarantee ethical behavior. Moreover, a code of ethics cannot resolve all ethical issues or disputes or capture the richness and complexity involved in striving to make

responsible choices within a moral community. Rather, a code of ethics sets forth values, ethical principles, and ethical standards to which professionals aspire and by which their actions can be judged. Social workers' ethical behavior should result from their personal commitment to engage in ethical practice. The *NASW Code of Ethics* reflects the commitment of all social workers to uphold the profession's values and to act ethically. Principles and standards must be applied by individuals of good character who discern moral questions and, in good faith, seek to make reliable ethical judgments.

Ethical Principles

The following broad ethical principles are based on social work's core values of service, social justice, dignity and worth of the person, importance of human relationships, integrity, and competence. These principles set forth ideals to which all social workers should aspire.

Value: *Service*

Ethical Principle: *Social workers' primary goal is to help people in need and to address social problems.*

Social workers elevate service to others above self-interest. Social workers draw on their knowledge, values, and skills to help people in need and to address social problems. Social workers are encouraged to volunteer some portion of their professional skills with no expectation of significant financial return (pro bono service).

Value: *Social Justice*

Ethical Principle: *Social workers challenge social injustice.*

Social workers pursue social change, particularly with and on behalf of vulnerable and oppressed individuals and groups of people. Social workers' social change efforts are focused primarily on issues of poverty, unemployment, discrimination, and other forms of social injustice. These activities seek to promote sensitivity to and knowledge about oppression and cultural and ethnic diversity. Social workers strive to ensure access to needed information, services, and resources; equality of opportunity; and meaningful participation in decision making for all people.

Value: *Dignity and Worth of the Person*

Ethical Principle: *Social workers respect the inherent dignity and worth of the person.*

Social workers treat each person in a caring and respectful fashion, mindful of individual differences and cultural and ethnic diversity. Social workers promote clients' socially responsible self-determination. Social workers seek to enhance clients' capacity and opportunity to change and to address their own needs. Social workers are cognizant of their dual responsibility to clients and to the broader society. They seek to resolve conflicts between clients' interests and the broader society's interests in a socially responsible manner consistent with the values, ethical principles, and ethical standards of the profession.

Value: *Importance of Human Relationships*

Ethical Principle: *Social workers recognize the central importance of human relationships.*

Social workers understand that relationships between and among people are an important vehicle for change. Social workers engage people as partners in the helping process. Social workers seek to strengthen relationships among people in a purposeful effort to promote, restore, maintain, and enhance the wellbeing of individuals, families, social groups, organizations, and communities.

Value: *Integrity*

Ethical Principle: *Social workers behave in a trustworthy manner.*

Social workers are continually aware of the profession's mission, values, ethical principles, and ethical standards and practice in a manner consistent with them. Social workers act honestly and responsibly and promote ethical practices on the part of the organizations with which they are affiliated.

Value: *Competence*

Ethical Principle: *Social workers practice within their areas of competence and develop and enhance their professional expertise.*

Social workers continually strive to increase their professional knowledge and skills and to apply them in practice. Social workers should aspire to contribute to the knowledge base of the profession.

Ethical Standards

The following ethical standards are relevant to the professional activities of all social workers. These standards concern (1) social workers' ethical responsibilities to clients, (2) social workers' ethical responsibilities to colleagues, (3) social workers' ethical responsibilities in practice settings, (4) social workers' ethical responsibilities as professionals, (5) social workers' ethical responsibilities to the social work profession, and (6) social workers' ethical responsibilities to the broader society.

Some of the standards that follow are enforceable guidelines for professional conduct, and some are aspirational. The extent to which each standard is enforceable is a matter of professional judgment to be exercised by those responsible for reviewing alleged violations of ethical standards.

1. SOCIAL WORKERS' ETHICAL RESPONSIBILITIES TO CLIENTS

1.01 Commitment to Clients

Social workers' primary responsibility is to promote the wellbeing of clients. In general, clients' interests are primary. However, social workers' responsibility to the larger society or specific legal obligations may on limited occasions supersede the loyalty owed clients, and clients should be so advised. (Examples include when a social worker is required by law to report that a client has abused a child or has threatened to harm self or others.)

1.02 SelfDetermination

Social workers respect and promote the right of clients to selfdetermination and assist clients in their efforts to identify and clarify their goals. Social workers may limit clients' right to self-

determination when, in the social workers' professional judgment, clients' actions or potential actions pose a serious, foreseeable, and imminent risk to themselves or others.

1.03 Informed Consent

(a) Social workers should provide services to clients only in the context of a professional relationship based, when appropriate, on valid informed consent. Social workers should use clear and understandable language to inform clients of the purpose of the services, risks related to the services, limits to services because of the requirements of a thirdparty payer, relevant costs, reasonable alternatives, clients' right to refuse or withdraw consent, and the time frame covered by the consent. Social workers should provide clients with an opportunity to ask questions.

(b) In instances when clients are not literate or have difficulty understanding the primary language used in the practice setting, social workers should take steps to ensure clients' comprehension. This may include providing clients with a detailed verbal explanation or arranging for a qualified interpreter or translator whenever possible.

(c) In instances when clients lack the capacity to provide informed consent, social workers should protect clients' interests by seeking permission from an appropriate third party, informing clients consistent with the clients' level of understanding. In such instances social workers should seek to ensure that the third party acts in a manner consistent with clients' wishes and interests. Social workers should take reasonable steps to enhance such clients' ability to give informed consent.

(d) In instances when clients are receiving services involuntarily, social workers should provide information about the nature and extent of services and about the extent of clients' right to refuse service.

(e) Social workers who provide services via electronic media (such as computer, telephone, radio, and television) should inform recipients of the limitations and risks associated with such services.

(f) Social workers should obtain clients' informed consent before audiotaping or videotaping clients or permitting observation of services to clients by a third party.

1.04 Competence

(a) Social workers should provide services and represent themselves as competent only within the boundaries of their education, training, license, certification, consultation received, supervised experience, or other relevant professional experience.

(b) Social workers should provide services in substantive areas or use intervention techniques or approaches that are new to them only after engaging in appropriate study, training, consultation, and supervision from people who are competent in those interventions or techniques.

(c) When generally recognized standards do not exist with respect to an emerging area of practice, social workers should exercise careful judgment and take responsible steps (including appropriate education, research, training, consultation, and supervision) to ensure the competence of their work and to protect clients from harm.

1.05 Cultural Competence and Social Diversity

(a) Social workers should understand culture and its function in human behavior and society, recognizing the strengths that exist in all cultures.

(b) Social workers should have a knowledge base of their clients' cultures and be able to demonstrate competence in the provision of services that are sensitive to clients' cultures and to differences among people and cultural groups.

(c) Social workers should obtain education about and seek to understand the nature of social diversity and oppression with respect to race, ethnicity, national origin, color, sex, sexual orientation, gender identity or expression, age, marital status, political belief, religion, immigration status, and mental or physical disability.

1.06 Conflicts of Interest

(a) Social workers should be alert to and avoid conflicts of interest that interfere with the exercise of professional discretion and impartial judgment. Social workers should inform clients when a real or potential conflict of interest arises and take reasonable steps to resolve the issue in a manner that makes the clients' interests primary and protects clients' interests to the greatest extent possible. In some cases, protecting clients' interests may require termination of the professional relationship with proper referral of the client.

(b) Social workers should not take unfair advantage of any professional relationship or exploit others to further their personal, religious, political, or business interests.

(c) Social workers should not engage in dual or multiple relationships with clients or former clients in which there is a risk of exploitation or potential harm to the client. In instances when dual or multiple relationships are unavoidable, social workers should take steps to protect clients and are responsible for setting clear, appropriate, and culturally sensitive boundaries. (Dual or multiple relationships occur when social workers relate to clients in more than one relationship, whether professional, social, or business. Dual or multiple relationships can occur simultaneously or consecutively.)

(d) When social workers provide services to two or more people who have a relationship with each other (for example, couples, family members), social workers should clarify with all parties which individuals will be considered clients and the nature of social workers' professional obligations to the various individuals who are receiving services. Social workers who anticipate a conflict of interest among the individuals receiving services or who anticipate having to perform in potentially conflicting roles (for example, when a social worker is asked to testify in a child custody dispute or divorce proceedings involving clients) should clarify their role with the parties involved and take appropriate action to minimize any conflict of interest.

1.07 Privacy and Confidentiality

(a) Social workers should respect clients' right to privacy. Social workers should not solicit private information from clients unless it is essential to providing services or conducting social work evaluation or research. Once private information is shared, standards of confidentiality apply.

(b) Social workers may disclose confidential information when appropriate with valid consent from a client or a person legally authorized to consent on behalf of a client.

(c) Social workers should protect the confidentiality of all information obtained in the course of professional service, except for compelling professional reasons. The general expectation that social workers will keep information confidential does not apply when disclosure is necessary to prevent serious, foreseeable, and imminent harm to a client or other identifiable person. In all instances, social workers should disclose the least amount of confidential information necessary to achieve the desired purpose; only information that is directly relevant to the purpose for which the disclosure is made should be revealed.

(d) Social workers should inform clients, to the extent possible, about the disclosure of confidential information and the potential consequences, when feasible before the disclosure is made. This applies whether social workers disclose confidential information on the basis of a legal requirement or client consent.

- (e) Social workers should discuss with clients and other interested parties the nature of confidentiality and limitations of clients' right to confidentiality. Social workers should review with clients circumstances where confidential information may be requested and where disclosure of confidential information may be legally required. This discussion should occur as soon as possible in the social worker-client relationship and as needed throughout the course of the relationship.
- (f) When social workers provide counseling services to families, couples, or groups, social workers should seek agreement among the parties involved concerning each individual's right to confidentiality and obligation to preserve the confidentiality of information shared by others. Social workers should inform participants in family, couples, or group counseling that social workers cannot guarantee that all participants will honor such agreements.
- (g) Social workers should inform clients involved in family, couples, marital, or group counseling of the social worker's, employer's, and agency's policy concerning the social worker's disclosure of confidential information among the parties involved in the counseling.
- (h) Social workers should not disclose confidential information to thirdparty payers unless clients have authorized such disclosure.
- (i) Social workers should not discuss confidential information in any setting unless privacy can be ensured. Social workers should not discuss confidential information in public or semipublic areas such as hallways, waiting rooms, elevators, and restaurants.
- (j) Social workers should protect the confidentiality of clients during legal proceedings to the extent permitted by law. When a court of law or other legally authorized body orders social workers to disclose confidential or privileged information without a client's consent and such disclosure could cause harm to the client, social workers should request that the court withdraw the order or limit the order as narrowly as possible or maintain the records under seal, unavailable for public inspection.
- (k) Social workers should protect the confidentiality of clients when responding to requests from members of the media.
- (l) Social workers should protect the confidentiality of clients' written and electronic records and other sensitive information. Social workers should take reasonable steps to ensure that clients' records are stored in a secure location and that clients' records are not available to others who are not authorized to have access.
- (m) Social workers should take precautions to ensure and maintain the confidentiality of information transmitted to other parties through the use of computers, electronic mail, facsimile machines, telephones and telephone answering machines, and other electronic or computer technology. Disclosure of identifying information should be avoided whenever possible.
- (n) Social workers should transfer or dispose of clients' records in a manner that protects clients' confidentiality and is consistent with state statutes governing records and social work licensure.
- (o) Social workers should take reasonable precautions to protect client confidentiality in the event of the social worker's termination of practice, incapacitation, or death.
- (p) Social workers should not disclose identifying information when discussing clients for teaching or training purposes unless the client has consented to disclosure of confidential information.
- (q) Social workers should not disclose identifying information when discussing clients with consultants unless the client has consented to disclosure of confidential information or there is a compelling need for such disclosure.
- (r) Social workers should protect the confidentiality of deceased clients consistent with the preceding standards.

1.08 Access to Records

(a) Social workers should provide clients with reasonable access to records concerning the clients. Social workers who are concerned that clients' access to their records could cause serious misunderstanding or harm to the client should provide assistance in interpreting the records and consultation with the client regarding the records. Social workers should limit clients' access to their records, or portions of their records, only in exceptional circumstances when there is compelling evidence that such access would cause serious harm to the client. Both clients' requests and the rationale for withholding some or all of the record should be documented in clients' files.

(b) When providing clients with access to their records, social workers should take steps to protect the confidentiality of other individuals identified or discussed in such records.

1.09 Sexual Relationships

(a) Social workers should under no circumstances engage in sexual activities or sexual contact with current clients, whether such contact is consensual or forced.

(b) Social workers should not engage in sexual activities or sexual contact with clients' relatives or other individuals with whom clients maintain a close personal relationship when there is a risk of exploitation or potential harm to the client. Sexual activity or sexual contact with clients' relatives or other individuals with whom clients maintain a personal relationship has the potential to be harmful to the client and may make it difficult for the social worker and client to maintain appropriate professional boundaries. Social workers—not their clients, their clients' relatives, or other individuals with whom the client maintains a personal relationship—assume the full burden for setting clear, appropriate, and culturally sensitive boundaries.

(c) Social workers should not engage in sexual activities or sexual contact with former clients because of the potential for harm to the client. If social workers engage in conduct contrary to this prohibition or claim that an exception to this prohibition is warranted because of extraordinary circumstances, it is social workers—not their clients—who assume the full burden of demonstrating that the former client has not been exploited, coerced, or manipulated, intentionally or unintentionally.

(d) Social workers should not provide clinical services to individuals with whom they have had a prior sexual relationship. Providing clinical services to a former sexual partner has the potential to be harmful to the individual and is likely to make it difficult for the social worker and individual to maintain appropriate professional boundaries.

1.10 Physical Contact

Social workers should not engage in physical contact with clients when there is a possibility of psychological harm to the client as a result of the contact (such as cradling or caressing clients). Social workers who engage in appropriate physical contact with clients are responsible for setting clear, appropriate, and culturally sensitive boundaries that govern such physical contact.

1.11 Sexual Harassment

Social workers should not sexually harass clients. Sexual harassment includes sexual advances, sexual solicitation, requests for sexual favors, and other verbal or physical conduct of a sexual nature.

1.12 Derogatory Language

Social workers should not use derogatory language in their written or verbal communications to or about clients. Social workers should use accurate and respectful language in all communications to and about clients.

1.13 Payment for Services

(a) When setting fees, social workers should ensure that the fees are fair, reasonable, and commensurate with the services performed. Consideration should be given to clients' ability to pay.

(b) Social workers should avoid accepting goods or services from clients as payment for professional services. Bartering arrangements, particularly involving services, create the potential for conflicts of interest, exploitation, and inappropriate boundaries in social workers' relationships with clients. Social workers should explore and may participate in bartering only in very limited circumstances when it can be demonstrated that such arrangements are an accepted practice among professionals in the local community, considered to be essential for the provision of services, negotiated without coercion, and entered into at the client's initiative and with the client's informed consent. Social workers who accept goods or services from clients as payment for professional services assume the full burden of demonstrating that this arrangement will not be detrimental to the client or the professional relationship.

(c) Social workers should not solicit a private fee or other remuneration for providing services to clients who are entitled to such available services through the social workers' employer or agency.

1.14 Clients Who Lack Decision Making Capacity

When social workers act on behalf of clients who lack the capacity to make informed decisions, social workers should take reasonable steps to safeguard the interests and rights of those clients.

1.15 Interruption of Services

Social workers should make reasonable efforts to ensure continuity of services in the event that services are interrupted by factors such as unavailability, relocation, illness, disability, or death.

1.16 Termination of Services

(a) Social workers should terminate services to clients and professional relationships with them when such services and

relationships are no longer required or no longer serve the clients' needs or interests.

(b) Social workers should take reasonable steps to avoid abandoning clients who are still in need of services. Social workers should withdraw services precipitously only under unusual circumstances, giving careful consideration to all factors in the situation and taking care to minimize possible adverse effects. Social workers should assist in making appropriate arrangements for continuation of services when necessary.

(c) Social workers in fee-for-service settings may terminate services to clients who are not paying an overdue balance if the financial contractual arrangements have been made clear to the client, if the client does not pose an imminent danger to self or others, and if the clinical and other consequences of the current nonpayment have been addressed and discussed with the client.

(d) Social workers should not terminate services to pursue a social, financial, or sexual relationship with a client.

- (e) Social workers who anticipate the termination or interruption of services to clients should notify clients promptly and seek the transfer, referral, or continuation of services in relation to the clients' needs and preferences.
- (f) Social workers who are leaving an employment setting should inform clients of appropriate options for the continuation of services and of the benefits and risks of the options.

2. SOCIAL WORKERS' ETHICAL RESPONSIBILITIES TO COLLEAGUES

2.01 Respect

- (a) Social workers should treat colleagues with respect and should represent accurately and fairly the qualifications, views, and obligations of colleagues.

- (b) Social workers should avoid unwarranted negative criticism of colleagues in communications with clients or with other professionals. Unwarranted negative criticism may include demeaning comments that refer to colleagues' level of competence or to individuals' attributes such as race, ethnicity, national origin, color, sex, sexual orientation, gender identity or expression, age, marital status, political belief, religion, immigration status, and mental or physical disability.

- (c) Social workers should cooperate with social work colleagues and with colleagues of other professions when such cooperation serves the wellbeing of clients.

2.02 Confidentiality

Social workers should respect confidential information shared by colleagues in the course of their professional relationships and transactions. Social workers should ensure that such colleagues understand social workers' obligation to respect confidentiality and any exceptions related to it.

2.03 Interdisciplinary Collaboration

- (a) Social workers who are members of an interdisciplinary team should participate in and contribute to decisions that affect the wellbeing of clients by drawing on the perspectives, values, and experiences of the social work profession. Professional and ethical obligations of the interdisciplinary team as a whole and of its individual members should be clearly established.
- (b) Social workers for whom a team decision raises ethical concerns should attempt to resolve the disagreement through appropriate channels. If the disagreement cannot be resolved, social workers should pursue other avenues to address their concerns consistent with client wellbeing.

2.04 Disputes Involving Colleagues

- (a) Social workers should not take advantage of a dispute between a colleague and an employer to obtain a position or otherwise advance the social workers' own interests.
- (b) Social workers should not exploit clients in disputes with colleagues or engage clients in any inappropriate discussion of conflicts between social workers and their colleagues.

2.05 Consultation

- (a) Social workers should seek the advice and counsel of colleagues whenever such consultation is in the best interests of clients.
- (b) Social workers should keep themselves informed about colleagues' areas of expertise and competencies. Social workers should seek consultation only from colleagues who have demonstrated knowledge, expertise, and competence related to the subject of the consultation.

(c) When consulting with colleagues about clients, social workers should disclose the least amount of information necessary to achieve the purposes of the consultation.

2.06 Referral for Services

(a) Social workers should refer clients to other professionals when the other professionals' specialized knowledge or expertise is needed to serve clients fully or when social workers believe that they are not being effective or making reasonable progress with clients and that additional service is required.

(b) Social workers who refer clients to other professionals should take appropriate steps to facilitate an orderly transfer of responsibility. Social workers who refer clients to other professionals should disclose, with clients' consent, all pertinent information to the new service providers.

(c) Social workers are prohibited from giving or receiving payment for a referral when no professional service is provided by the referring social worker.

2.07 Sexual Relationships

(a) Social workers who function as supervisors or educators should not engage in sexual activities or contact with supervisees, students, trainees, or other colleagues over whom they exercise professional authority.

(b) Social workers should avoid engaging in sexual relationships with colleagues when there is potential for a conflict of interest. Social workers who become involved in, or anticipate becoming involved in, a sexual relationship with a colleague have a duty to transfer professional responsibilities, when necessary, to avoid a conflict of interest.

2.08 Sexual Harassment

Social workers should not sexually harass supervisees, students, trainees, or colleagues. Sexual harassment includes sexual advances, sexual solicitation, requests for sexual favors, and other verbal or physical conduct of a sexual nature.

2.09 Impairment of Colleagues

(a) Social workers who have direct knowledge of a social work colleague's impairment that is due to personal problems, psychosocial distress, substance abuse, or mental health difficulties and that interferes

with practice effectiveness should consult with that colleague when feasible and assist the colleague in taking remedial action.

(b) Social workers who believe that a social work colleague's impairment interferes with practice effectiveness and that the colleague has not taken adequate steps to address the impairment should take action through appropriate channels established by employers, agencies, NASW, licensing and regulatory bodies, and other professional organizations.

2.10 Incompetence of Colleagues

(a) Social workers who have direct knowledge of a social work colleague's incompetence should consult with that colleague when feasible and assist the colleague in taking remedial action.

(b) Social workers who believe that a social work colleague is incompetent and has not taken adequate steps to address the incompetence should take action through appropriate channels established by employers, agencies, NASW, licensing and regulatory bodies, and other professional organizations.

2.11 Unethical Conduct of Colleagues

- (a) Social workers should take adequate measures to discourage, prevent, expose, and correct the unethical conduct of colleagues.
- (b) Social workers should be knowledgeable about established policies and procedures for handling concerns about colleagues' unethical behavior. Social workers should be familiar with national, state, and local procedures for handling ethics complaints. These include policies and procedures created by NASW, licensing and regulatory bodies, employers, agencies, and other professional organizations.
- (c) Social workers who believe that a colleague has acted unethically should seek resolution by discussing their concerns with the colleague when feasible and when such discussion is likely to be productive.
- (d) When necessary, social workers who believe that a colleague has acted unethically should take action through appropriate formal channels (such as contacting a state licensing board or regulatory body, an NASW committee on inquiry, or other professional ethics committees).
- (e) Social workers should defend and assist colleagues who are unjustly charged with unethical conduct.

3. SOCIAL WORKERS' ETHICAL RESPONSIBILITIES IN PRACTICE SETTINGS

3.01 Supervision and Consultation

- (a) Social workers who provide supervision or consultation should have the necessary knowledge and skill to supervise or consult appropriately and should do so only within their areas of knowledge and competence.
- (b) Social workers who provide supervision or consultation are responsible for setting clear, appropriate, and culturally sensitive boundaries.
- (c) Social workers should not engage in any dual or multiple relationships with supervisees in which there is a risk of exploitation of or potential harm to the supervisee.
- (d) Social workers who provide supervision should evaluate supervisees' performance in a manner that is fair and respectful.

3.02 Education and Training

- (a) Social workers who function as educators, field instructors for students, or trainers should provide instruction only within their areas of knowledge and competence and should provide instruction based on the most current information and knowledge available in the profession.
- (b) Social workers who function as educators or field instructors for students should evaluate students' performance in a manner that is fair and respectful.
- (c) Social workers who function as educators or field instructors for students should take reasonable steps to ensure that clients are routinely informed when services are being provided by students.
- (d) Social workers who function as educators or field instructors for students should not engage in any dual or multiple relationships with students in which there is a risk of exploitation or potential harm to the student. Social work educators and field instructors are responsible for setting clear, appropriate, and culturally sensitive boundaries.

3.03 Performance Evaluation

Social workers who have responsibility for evaluating the performance of others should fulfill such responsibility in a fair and considerate manner and on the basis of clearly stated criteria.

3.04 Client Records

- (a) Social workers should take reasonable steps to ensure that documentation in records is accurate and reflects the services provided.
- (b) Social workers should include sufficient and timely documentation in records to facilitate the delivery of services and to ensure continuity of services provided to clients in the future.
- (c) Social workers' documentation should protect clients' privacy to the extent that is possible and appropriate and should include only information that is directly relevant to the delivery of services.
- (d) Social workers should store records following the termination of services to ensure reasonable future access. Records should be maintained for the number of years required by state statutes or relevant contracts.

3.05 Billing

Social workers should establish and maintain billing practices that accurately reflect the nature and extent of services provided and that identify who provided the service in the practice setting.

3.06 Client Transfer

- (a) When an individual who is receiving services from another agency or colleague contacts a social worker for services, the social worker should carefully consider the client's needs before agreeing to provide services. To minimize possible confusion and conflict, social workers should discuss with potential clients the nature of the clients' current relationship with other service providers and the implications, including possible benefits or risks, of entering into a relationship with a new service provider.
- (b) If a new client has been served by another agency or colleague, social workers should discuss with the client whether consultation with the previous service provider is in the client's best interest.

3.07 Administration

- (a) Social work administrators should advocate within and outside their agencies for adequate resources to meet clients' needs.
- (b) Social workers should advocate for resource allocation procedures that are open and fair. When not all clients' needs can be met, an allocation procedure should be developed that is nondiscriminatory and based on appropriate and consistently applied principles.
- (c) Social workers who are administrators should take reasonable steps to ensure that adequate agency or organizational resources are available to provide appropriate staff supervision.
- (d) Social work administrators should take reasonable steps to ensure that the working environment for which they are responsible is consistent with and encourages compliance with the *NASW Code of Ethics*. Social work administrators should take reasonable steps to eliminate any conditions in their organizations that violate, interfere with, or discourage compliance with the *Code*.

3.08 Continuing Education and Staff Development

Social work administrators and supervisors should take reasonable steps to provide or arrange for continuing education and staff development for all staff for whom they are responsible. Continuing education and staff development should address current knowledge and emerging developments related to social work practice and ethics.

3.09 Commitments to Employers

- (a) Social workers generally should adhere to commitments made to employers and employing organizations.
- (b) Social workers should work to improve employing agencies' policies and procedures and the efficiency and effectiveness of their services.
- (c) Social workers should take reasonable steps to ensure that employers are aware of social workers' ethical obligations as set forth in the *NASW Code of Ethics* and of the implications of those obligations for social work practice.
- (d) Social workers should not allow an employing organization's policies, procedures, regulations, or administrative orders to interfere with their ethical practice of social work. Social workers should take reasonable steps to ensure that their employing organizations' practices are consistent with the *NASW Code of Ethics*.
- (e) Social workers should act to prevent and eliminate discrimination in the employing organization's work assignments and in its employment policies and practices.
- (f) Social workers should accept employment or arrange student field placements only in organizations that exercise fair personnel practices.
- (g) Social workers should be diligent stewards of the resources of their employing organizations, wisely conserving funds where appropriate and never misappropriating funds or using them for unintended purposes.

3.10 Labor Management Disputes

- (a) Social workers may engage in organized action, including the formation of and participation in labor unions, to improve services to clients and working conditions.
- (b) The actions of social workers who are involved in labor management disputes, job actions, or labor strikes should be guided by the profession's values, ethical principles, and ethical standards. Reasonable differences of opinion exist among social workers concerning their primary obligation as professionals during an actual or threatened labor strike or job action. Social workers should carefully examine relevant issues and their possible impact on clients before deciding on a course of action.

4. SOCIAL WORKERS' ETHICAL RESPONSIBILITIES AS PROFESSIONALS

4.01 Competence

- (a) Social workers should accept responsibility or employment only on the basis of existing competence or the intention to acquire the necessary competence.
- (b) Social workers should strive to become and remain proficient in professional practice and the performance of professional functions. Social workers should critically examine and keep current with emerging knowledge relevant to social work. Social workers should routinely review the professional literature and participate in continuing education relevant to social work practice and social work ethics.
- (c) Social workers should base practice on recognized knowledge, including empirically based knowledge, relevant to social work and social work ethics.

4.02 Discrimination

Social workers should not practice, condone, facilitate, or collaborate with any form of discrimination on the basis of race, ethnicity, national origin, color, sex, sexual orientation, gender identity or expression, age, marital status, political belief, religion, immigration status, or mental or physical disability.

4.03 Private Conduct

Social workers should not permit their private conduct to interfere with their ability to fulfill their professional responsibilities.

4.04 Dishonesty, Fraud, and Deception

Social workers should not participate in, condone, or be associated with dishonesty, fraud, or deception.

4.05 Impairment

(a) Social workers should not allow their own personal problems, psychosocial distress, legal problems, substance abuse, or mental health difficulties to interfere with their professional judgment and performance or to jeopardize the best interests of people for whom they have a professional responsibility.

(b) Social workers whose personal problems, psychosocial distress, legal problems, substance abuse, or mental health difficulties interfere with their professional judgment and performance should immediately seek consultation and take appropriate remedial action by seeking professional help, making adjustments in workload, terminating practice, or taking any other steps necessary to protect clients and others.

4.06 Misrepresentation

(a) Social workers should make clear distinctions between statements made and actions engaged in as a private individual and as a representative of the social work profession, a professional social work organization, or the social worker's employing agency.

(b) Social workers who speak on behalf of professional social work organizations should accurately represent the official and authorized positions of the organizations.

(c) Social workers should ensure that their representations to clients, agencies, and the public of professional qualifications, credentials, education, competence, affiliations, services provided, or results to be achieved are accurate. Social workers should claim only those relevant professional credentials they actually possess and take steps to correct any inaccuracies or misrepresentations of their credentials by others.

4.07 Solicitations

(a) Social workers should not engage in uninvited solicitation of potential clients who, because of their circumstances, are vulnerable to undue influence, manipulation, or coercion.

(b) Social workers should not engage in solicitation of testimonial endorsements (including solicitation of consent to use a client's prior statement as a testimonial endorsement) from current clients or from other people who, because of their particular circumstances, are vulnerable to undue influence.

4.08 Acknowledging Credit

(a) Social workers should take responsibility and credit, including authorship credit, only for work they have actually performed and to which they have contributed.

(b) Social workers should honestly acknowledge the work of and the contributions made by others.

5. SOCIAL WORKERS' ETHICAL RESPONSIBILITIES TO THE SOCIAL WORK PROFESSION

5.01 Integrity of the Profession

- (a) Social workers should work toward the maintenance and promotion of high standards of practice.
- (b) Social workers should uphold and advance the values, ethics, knowledge, and mission of the profession. Social workers should protect, enhance, and improve the integrity of the profession through appropriate study and research, active discussion, and responsible criticism of the profession.
- (c) Social workers should contribute time and professional expertise to activities that promote respect for the value, integrity, and competence of the social work profession. These activities may include teaching, research, consultation, service, legislative testimony, presentations in the community, and participation in their professional organizations.
- (d) Social workers should contribute to the knowledge base of social work and share with colleagues their knowledge related to practice, research, and ethics. Social workers should seek to contribute to the profession's literature and to share their knowledge at professional meetings and conferences.
- (e) Social workers should act to prevent the unauthorized and unqualified practice of social work.

5.02 Evaluation and Research

- (a) Social workers should monitor and evaluate policies, the implementation of programs, and practice interventions.
- (b) Social workers should promote and facilitate evaluation and research to contribute to the development of knowledge.
- (c) Social workers should critically examine and keep current with emerging knowledge relevant to social work and fully use evaluation and research evidence in their professional practice.
- (d) Social workers engaged in evaluation or research should carefully consider possible consequences and should follow guidelines developed for the protection of evaluation and research participants. Appropriate institutional review boards should be consulted.
- (e) Social workers engaged in evaluation or research should obtain voluntary and written informed consent from participants, when appropriate, without any implied or actual deprivation or penalty for refusal to participate; without undue inducement to participate; and with due regard for participants' wellbeing, privacy, and dignity. Informed consent should include information about the nature, extent, and duration of the participation requested and disclosure of the risks and benefits of participation in the research.
- (f) When evaluation or research participants are incapable of giving informed consent, social workers should provide an appropriate explanation to the participants, obtain the participants' assent to the extent they are able, and obtain written consent from an appropriate proxy.
- (g) Social workers should never design or conduct evaluation or research that does not use consent procedures, such as certain forms of naturalistic observation and archival research, unless rigorous and responsible review of the research has found it to be justified because of its prospective scientific, educational, or applied value and unless equally effective alternative procedures that do not involve waiver of consent are not feasible.
- (h) Social workers should inform participants of their right to withdraw from evaluation and research at any time without penalty.

- (i) Social workers should take appropriate steps to ensure that participants in evaluation and research have access to appropriate supportive services.
- (j) Social workers engaged in evaluation or research should protect participants from unwarranted physical or mental distress, harm, danger, or deprivation.
- (k) Social workers engaged in the evaluation of services should discuss collected information only for professional purposes and only with people professionally concerned with this information.
- (l) Social workers engaged in evaluation or research should ensure the anonymity or confidentiality of participants and of the data obtained from them. Social workers should inform participants of any limits of confidentiality, the measures that will be taken to ensure confidentiality, and when any records containing research data will be destroyed.
- (m) Social workers who report evaluation and research results should protect participants' confidentiality by omitting identifying information unless proper consent has been obtained authorizing disclosure.
- (n) Social workers should report evaluation and research findings accurately. They should not fabricate or falsify results and should take steps to correct any errors later found in published data using standard publication methods.
- (o) Social workers engaged in evaluation or research should be alert to and avoid conflicts of interest and dual relationships with participants, should inform participants when a real or potential conflict of interest arises, and should take steps to resolve the issue in a manner that makes participants' interests primary.
- (p) Social workers should educate themselves, their students, and their colleagues about responsible research practices.

6. SOCIAL WORKERS' ETHICAL RESPONSIBILITIES TO THE BROADER SOCIETY

6.01 Social Welfare

Social workers should promote the general welfare of society, from local to global levels, and the development of people, their communities, and their environments. Social workers should advocate for living conditions conducive to the fulfillment of basic human needs and should promote social, economic, political, and cultural values and institutions that are compatible with the realization of social justice.

6.02 Public Participation

Social workers should facilitate informed participation by the public in shaping social policies and institutions.

6.03 Public Emergencies

Social workers should provide appropriate professional services in public emergencies to the greatest extent possible.

6.04 Social and Political Action

(a) Social workers should engage in social and political action that seeks to ensure that all people have equal access to the resources, employment, services, and opportunities they require to meet their basic human needs and to develop fully. Social workers should be aware of the impact of the political arena on practice and should advocate for changes in policy and legislation to improve social conditions in order to meet basic human needs and promote social justice.

(b) Social workers should act to expand choice and opportunity for all people, with special regard for vulnerable, disadvantaged, oppressed, and exploited people and groups.

(c) Social workers should promote conditions that encourage respect for cultural and social diversity within the United States and globally. Social workers should promote policies and practices that demonstrate respect for difference, support the expansion of cultural knowledge and resources, advocate for programs and institutions that demonstrate cultural competence, and promote policies that safeguard the rights of and confirm equity and social justice for all people.

(d) Social workers should act to prevent and eliminate domination of, exploitation of, and discrimination against any person, group, or class on the basis of race, ethnicity, national origin, color, sex, sexual orientation, gender identity or expression, age, marital status, political belief, religion, immigration status, or mental or physical disability.

Downloaded on August 14, 2012 from <http://www.socialworkers.org/pubs/code/default.asp>

Appendix B- Forms

Rubric for Evaluating North Carolina's School Social Workers

School Social Worker Summary Rating Form

School Social Worker Summary Rating Sheet

Professional Development Plan

Record of School Social Worker Evaluation Activities

Rubric for Evaluating North Carolina’s School Social Workers (Required)

STANDARD 1: School social workers Demonstrate Leadership. School social workers demonstrate leadership by promoting and enhancing the overall academic mission by providing services that strengthen home, school, and community partnerships. School social workers use their professional training, depth of knowledge, and experience to work with individuals and teams to facilitate partnerships that support the school and district mission. The school social worker contributes significantly to the development of a healthy, safe, and caring school environment by advancing the understanding of the social, emotional, psychological, and academic needs of students. School social workers initiate the development of community, district, and school resources to address unmet needs that affect academic achievement and alleviate barriers to learning in the 21st Century. School social workers are knowledgeable of relevant laws, policies, and procedures and provide staff development and training regarding these areas to educate and encourage compliance.

Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
<p>Element a. School social workers collaboratively engage all school personnel to create a professional learning community. School social workers develop and maintain a written plan of data-driven goals and strategies for effective delivery of the school social work program based on national best practices, individual school data, current relevant research findings, and the school improvement plan. School social workers provide input in the selection of professional development to impart staff with the knowledge to meet the educational needs of students. They participate in the hiring process and collaborate with their colleagues to mentor and support school social workers to improve the effectiveness of student support services.</p>				
<ul style="list-style-type: none"> <input type="checkbox"/> Understands the value of accurate school and student data for use in the decision making process. 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Collaborates with school personnel to create a positive learning community. <input type="checkbox"/> Helps identify professional development opportunities for school staff. <input type="checkbox"/> Develops and maintains a written work plan that includes data driven goals and strategies for effective delivery of the school social work program. 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Uses data to determine needed changes to the work plan. 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Participates in hiring, mentoring, and/or supporting other school social workers, interns, or school social work students. <input type="checkbox"/> Collaborates and mentors colleagues to improve the effectiveness of student support services. 	

STANDARD 1: School social workers Demonstrate Leadership

Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
<p>Element b. School social workers enhance the social work profession. School social workers strive to enhance the social work profession. School social workers contribute to the establishment of positive working conditions in their schools, districts, state, and nation. School social workers actively participate in and advocate for decision-making structures in education and government that utilize the expertise of School social workers. School social workers communicate the goals of the school social work program to stakeholders. School social workers maintain current and appropriate resources to improve the relationship among home, school, and community. School social workers promote professional growth and collaborate with their colleagues to improve the profession.</p>				
<ul style="list-style-type: none"> <input type="checkbox"/> Understands the goals of the school social work program. <input type="checkbox"/> Contributes to the establishment of positive working conditions. 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Communicates to families and/or significant adults and the school staff the goals and anticipated outcomes of the school social work program. <input type="checkbox"/> Coordinates the provision of effective and comprehensive services to students in the school and in the community. 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Participates in decision-making structures within the school, district, and/or community. <input type="checkbox"/> Maintains current and appropriate resources to strengthen the relationship among home, school, and community. <input type="checkbox"/> Provides in-service training on school social work services. 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Communicates the goals and anticipated outcomes of the school social work program to all stakeholders. <input type="checkbox"/> Conducts community outreach. <input type="checkbox"/> Participates in decision making structures at state and/or national levels. 	
<p>Element c. School social workers advocate for students, families, schools, and communities. School social workers advocate for positive change in policies and practices affecting student learning. School social workers support the school improvement plan and student academic success through developing and utilizing internal and external partnerships and resources. They participate in the implementation of initiatives to improve educational and support services.</p>				
<ul style="list-style-type: none"> <input type="checkbox"/> Understands policies and practices that impact student learning. 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Advocates for adherence to school and district policies and procedures for the benefit of students. <input type="checkbox"/> Supports positive change in policies and practices affecting student learning. <input type="checkbox"/> Participates in the implementation of initiatives to enhance student educational and support services. 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Advocates for positive changes to school and district policies and/or practices that affect student learning. <input type="checkbox"/> Develops and utilizes internal and external partnerships and resources. <input type="checkbox"/> Collaborates with colleagues to develop or revise school improvement plan to adequately address school social work issues. 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Advocates at the state and/or national level for positive changes to policies and/or practices that affect student learning. 	

STANDARD 1: School social workers Demonstrate Leadership

Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
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Element d. School social workers demonstrate high ethical standards. School social workers adhere to the laws, policies, procedures, and ethical standards of the social work profession. School social workers demonstrate ethical principles including honesty, integrity, fair treatment, and respect for others. School social workers uphold the National Association of Social Workers (NASW) Code of Ethics, revised 1999. (<http://www.socialworkers.org/pubs/code/code.asp>) The Code of Ethics for North Carolina Educators (effective June 1, 1997) and the Standards for Professional Conduct.

<input type="checkbox"/> Adheres to the laws, policies, procedures, and ethical standards of the social work profession. Understands the: <input type="checkbox"/> National Association of Social Workers Code of Ethics. <input type="checkbox"/> Code of Ethics for North Carolina Educators (effective June 1, 1997) <input type="checkbox"/> Standards for the Professional Conduct adopted April 1, 1998.	<p style="text-align: center;">... and</p> <input type="checkbox"/> Demonstrates high ethical standards. <input type="checkbox"/> Regularly participates in ethics training and/or education. <input type="checkbox"/> Encourages colleagues to uphold the NC and National Association of Social Workers codes of ethics.	<p style="text-align: center;">... and</p> <input type="checkbox"/> Provides professional development on ethics. <input type="checkbox"/> Maintains currency on ethical issues related to standards for professional conduct.	<p style="text-align: center;">... and</p> <input type="checkbox"/> Contributes to the development of policies and/or protocols related to ethics.	
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Examples of Artifacts that may be used to support ratings:

<input type="checkbox"/> Documentation of improvement and/or development and implementation of the school improvement plan
<input type="checkbox"/> Use of data to guide service delivery
<input type="checkbox"/> Professional association membership and activities
<input type="checkbox"/> Participation in Professional Learning Communities
<input type="checkbox"/> Initiation and facilitation of Child and Family Team meetings
<input type="checkbox"/> Minutes and rosters from meetings
<input type="checkbox"/> Follow-up information provided to colleagues
<input type="checkbox"/> Written work plan
<input type="checkbox"/> Presentation materials developed for school, district, state, or national presentations
<input type="checkbox"/> Correspondence and other written communications
<input type="checkbox"/> Case notes
<input type="checkbox"/> Reports of services provided
<input type="checkbox"/> Satisfaction surveys
<input type="checkbox"/> Training agenda, certificate, reading material for ethics training or education
<input type="checkbox"/>
<input type="checkbox"/>
<input type="checkbox"/>
<input type="checkbox"/>

Evaluator Comments: (Required for all “Not Evident” ratings and recommended for all others):

Comments of Person Being Evaluated: (Optional)

STANDARD 2: School social workers promote a respectful environment for diverse populations. School social workers promote a positive school environment in which individual differences are respected. School social workers educate school personnel on the correlation between a positive school climate and student achievement. School social workers understand and respect the impact of how student learning is influenced by culture, community, family, and individual experiences. School social workers recognize the need to educate the school staff on emerging issues within the home, school, and community. The School social worker understands the ways in which similar behaviors may have different meanings to people in different cultures.

Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
<p>Element a. School social workers promote an environment in which each student has a positive, nurturing relationship with caring adults. School social workers encourage an environment that is inviting, respectful, supportive, inclusive, and flexible. School social workers provide leadership and collaborate with other school personnel to provide effective school social work services. School social workers implement developmentally-appropriate and prevention-oriented group activities to meet student needs and school goals.</p>				
<ul style="list-style-type: none"> <input type="checkbox"/> Understands the importance of a supportive, inclusive, and flexible school environment. 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Encourages an environment in which each child has a positive, nurturing relationship with a caring adult. <input type="checkbox"/> Implements prevention-oriented activities to meet student needs and school goals. 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Creates and maintains an environment that is inviting, respectful, supportive, inclusive, and flexible. 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Provides leadership and collaborates with other school personnel to provide a safe, caring environment. <input type="checkbox"/> Challenges threats to the safety of the school environment for all students. 	
<p>Element b. School social workers embrace diversity in the school, home, community, and world. School social workers demonstrate their knowledge of diverse cultures. School social workers also understand the role of diverse cultures in shaping global, state, and school issues. School social workers recognize the influence of race, ethnicity, gender, religion, language, and other aspects of culture on a student’s development and personality. School social workers strive to understand how students’ culture and background may influence their school performance. School social workers consider and incorporate different points of view in the professional development provided for school personnel. School social workers actively select materials and develop activities that counteract stereotypes and incorporate histories and contributions of all cultures.</p>				
<ul style="list-style-type: none"> <input type="checkbox"/> Understands how a student’s culture and background may influence development, personality, and school performance. 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Embraces diversity in the school community and in the world. <input type="checkbox"/> Seeks and incorporates different points of view into professional practice. <input type="checkbox"/> Provides services in a way that is compatible with the culture of the child and his/her significant adults. 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Utilizes materials and develops activities that counteract stereotypes and incorporate contributions of various cultures. <input type="checkbox"/> Disseminates pertinent family, cultural, social, and economic information to school staff. 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Disseminates materials and activities that counteract stereotypes and incorporate contributions of all cultures. <input type="checkbox"/> Advocates for the understanding that diverse cultures shape global, state, and school issues. <input type="checkbox"/> Provides professional development on cultural competencies. 	

STANDARD 2: School social workers promote a respectful environment for diverse populations.

Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
<p>Element c. School social workers treat students as individuals. School social workers maintain high expectations, including graduation from high school, for students of all backgrounds. School social workers appreciate differences and value the contributions of each student in the learning environment by building positive, appropriate relationships. School social workers assist students, individually and/or in groups, with developing academic, social, emotional, and psychological skills</p>				
<ul style="list-style-type: none"> <input type="checkbox"/> Appreciates differences and values the contributions of each student. <input type="checkbox"/> Treats students as individuals. 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Maintains high expectations for all students. <input type="checkbox"/> Helps students develop academic, social, emotional, and psychological skills. 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Monitors student progress toward achieving high expectations. <input type="checkbox"/> Provides professional development to school personnel on strategies for meeting the individual needs of students. 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Consults with school personnel on the needs of students to ensure that they graduate from high school. 	
<p>Element d. School social workers provide services that benefit students with special needs. School social workers collaborate with administrators, teachers, and a range of specialists to help meet the special needs of all students. School social workers may participate in the evaluation process by conducting the student social/developmental history and parent interviews. School social workers engage students to ensure that their academic, social, emotional, and psychological needs are effectively met by conducting individual/group counseling.</p>				
<ul style="list-style-type: none"> <input type="checkbox"/> Understands the need for supplementary support services for students with special needs. 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Collaborates with administrators, teachers, and a range of specialists to help meet the special needs of students. <input type="checkbox"/> Participates in student evaluation processes by conducting student social/developmental histories and parent interviews. 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Conducts individual/group counseling to ensure that student needs are met. <input type="checkbox"/> Adapts intervention approaches for the benefit of students with special needs. 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Provides professional development on effective intervention approaches for students with special needs. 	

STANDARD 2: School social workers promote a respectful environment for diverse populations.

Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
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Element e. School social workers work collaboratively with families and significant adults in the lives of students. School social workers recognize that educating students is a shared responsibility involving the students, families, schools, and communities. School social workers improve communication and collaboration among the school, home, and community in order to promote trust and understanding and to build partnerships with all segments of the school community. School social workers seek solutions to barriers that inhibit effective familial and community involvement in the education of students.

<input type="checkbox"/> Understands the importance of developing trust and understanding with families, the school, and the community.	<p>... and</p> <input type="checkbox"/> Communicates effectively with families and significant adults students, colleagues, and community stakeholders.	<p>... and</p> <input type="checkbox"/> Builds partnerships with community agencies and individual stakeholders.	<p>... and</p> <input type="checkbox"/> Collaborates with students and families/significant adults to eliminate barriers to their involvement.	<input type="checkbox"/> Leverages community and stakeholder partnerships for the benefit of students.
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Examples of Artifacts that may be used to support ratings:

- Documentation of parent/significant adult meetings
- Lists of community and stakeholder partners and their contributions to the school
- School visitation logs
- Records of parent interviews
- Participation in IEP meetings
-
-
-
-

Evaluator Comments: (Required for all “Not Evident” ratings and recommended for all others):

Comments of person being evaluated (Optional):

STANDARD 3: School social workers apply the skills and knowledge of their profession within educational settings. School social workers utilize theories and skills necessary to enhance the interconnectedness of home, school, community, and student success. School social workers consult and collaborate through multidisciplinary teams to improve service delivery. School social workers encourage and model relationships that are critical to a rigorous and relevant education. School social workers provide proven and promising interventions that address barriers to academic achievement. School social workers align their services with the North Carolina Standard Course of Study and national best practices.

Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
<p>Element a. School social workers deliver comprehensive services unique to their specialty area. School social workers bring a richness and depth of understanding of students, families, schools, and communities. School social workers utilize skills such as advocacy, assessment, consultation, counseling, and collaboration to create and implement developmentally appropriate and targeted interventions to meet the identified needs of students, families, schools, and communities. School social workers support and encourage student and family involvement in the school process.</p>				
<ul style="list-style-type: none"> <input type="checkbox"/> Understands the complex and dynamic nature of relationships among students, families, schools, and communities. <input type="checkbox"/> Understands the implications of developmental, demographic and socio-environmental factors that influence student achievement. 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Seeks solutions to barriers that inhibit familial and community involvement in the education of students. <input type="checkbox"/> Works collaboratively with families and significant adults to meet identified needs of students. 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Implements research-based strategies to meet the identified needs of students and their families. 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Develops resources to address the strengths and weaknesses of students. 	
<p>Element b. School social workers possess effective communication skills. School social workers are perceptive listeners and are able to communicate effectively with students, families, school staff, and communities even when language is a barrier.</p>				
<ul style="list-style-type: none"> <input type="checkbox"/> Demonstrates listening skills that build rapport with stakeholders. <input type="checkbox"/> Communicates respect for stakeholders opinions. 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Communicates effectively with students, families, school staff, and members of the community regardless of barriers. 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Promotes trust and understanding and builds partnerships with all segments of the community. 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Employs a wide range of communication strategies to sustain and enhance partnerships. <input type="checkbox"/> Communicates with a broad professional and community network. 	

STANDARD 3: School social workers apply the skills and knowledge of their profession within educational settings

Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
<p>Element c. School social workers recognize the interconnectedness of academic, social, emotional, and psychological development and societal challenges. School social workers comprehend the link between school social work services and the North Carolina Standard Course of Study. School social workers understand the implications of demographic and socio-economic factors that influence student achievement. School social workers promote global awareness and its relevance to the development of the whole child for the 21st Century.</p>				
<ul style="list-style-type: none"> <input type="checkbox"/> Understands the NC Standard Course of Study. 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Helps students understand the interconnectedness of the 21st Century society and its implications for their development. 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Communicates to stakeholders the implications of the interconnectedness of the 21st Century society. <input type="checkbox"/> Supports other school and community stakeholders in designing instructional and support strategies sensitive to the demographic and socio-economic distinctiveness of students. 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Stays current on the rigorous and relevant 21st Century content and life skills that are necessary for students to be successful following high school graduation. <input type="checkbox"/> Disseminates information about 21st Century content and life skills to a broad audience. 	
<p>Element d. School social workers facilitate student acquisition of 21st Century skills. School social workers incorporate 21st Century life skills deliberately, strategically, and broadly into their services. These skills include leadership, ethics, accountability, adaptability, personal productivity, personal responsibility, interpersonal skills, self-direction, and social responsibility. School social workers help students understand the relationship between the North Carolina Standard Course of Study and 21st Century content, which includes global awareness; financial, economic, business and entrepreneurial literacy, civic literacy, and health and wellness awareness. School social workers facilitate student understanding of the 21st Century content relevant to academic, social, emotional, and psychological success.</p>				
<ul style="list-style-type: none"> <input type="checkbox"/> Understands 21st Century content and life skills and the NC Standard Course of Study. <input type="checkbox"/> Understands the link between school social work and 21st Century content and life skills and the NC Standard Course of Study. 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Incorporates 21st Century content and life skills into sound social work practice. 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Helps students understand 21st Century content and life skills and their relevance to everyday life and ultimate success following graduation. 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Participates in the evaluation of student understanding of 21st Century content and life skills. <input type="checkbox"/> Adapts social work practice based on findings of the evaluation of student understanding of 21st Century content and life skills. 	

Artifacts that may be used to support ratings:

- Individual records
- Counseling or group work rubrics
- Evidence of student understanding
- Student self-assessment and surveys
- Social work notes
- Work plan establishing goals
- Attendance records
- Discipline referrals (ISS and OSS)
- Dropout, graduation
- Grades and test scores
- Referrals to other agencies
- Child and family meetings, agency meetings
- Agendas from meetings
- Referrals to school-based services
-
-
-
-

Evaluator Comments (Required for “Not Evident” ratings and recommended for all others):

Comments of person being evaluated (Optional):

STANDARD 4: School social workers support student learning. The School social worker understands how the students’ social, emotional, psychological, and environmental factors influence academic performance and achievement. School social workers understand the need for early intervention and prevention when addressing these factors. School social workers collaborate with parents to aid their understanding of their role as an active participant in the student’s education performance. School social workers develop intervention plans that address student needs and promote academic success.

Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
<p>Element a. School social workers use a variety of strength-based methods. School social workers address the achievement gap by assessing student strengths and needs and by implementing proven and promising interventions. School social workers provide a wide range of prevention, early intervention, and crisis response strategies to address social, emotional, psychological, and academic needs. School social workers collaborate and consult with administrators, instructional and support staff, parents, and the community to support student learning. School social workers provide professional development to promote early identification of unmet needs, increase awareness of relevant laws, policies, and procedures, and encourage empathy and understanding of the whole child.</p>				
<ul style="list-style-type: none"> <input type="checkbox"/> Understands the stages of intellectual, physical, social, and emotional development of their students. <input type="checkbox"/> Stays current on proven and promising practices (including assessments) related to closing the achievement gap. 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Regularly assesses student strengths and needs in order to inform development of effective interventions and strategies. <p>Implements and encourages others to implement:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Proven and promising practices to address student needs. <input type="checkbox"/> Early identification and intervention strategies. 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Monitors the effectiveness of interventions on student outcomes. <p>Shares with school and district colleagues knowledge of:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Proven and promising practices. <input type="checkbox"/> The impact of student development on student and school outcomes. 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Provides professional development on proven and promising practices. 	
<p>Element b. School social workers help students develop critical thinking and problem-solving skills. School social workers address issues that interfere with the students’ ability to problem solve and think critically. School social workers assist students in developing skills necessary to communicate effectively, synthesize knowledge, think creatively, and make informed decisions through individual and group work.</p>				
<ul style="list-style-type: none"> <input type="checkbox"/> Understands issues that impact students’ ability to problem solve and think critically. 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Addresses issues that interfere with students’ ability to problem solve and think critically. <p>Assists students in developing skills to:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Communicate effectively. <input type="checkbox"/> Synthesize knowledge. <input type="checkbox"/> Think creatively. <input type="checkbox"/> Make informed decisions. 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Assists students in applying critical thinking and problem-solving skills to organize, plan, and set goals. 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Collaborates with school staff and community partners to assist students in developing and applying communication and problem-solving skills. 	

STANDARD 4: School social workers support student learning.

Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
<p>Element c: School social workers support students as they develop leadership qualities. School social workers help students strengthen interpersonal and intrapersonal skills, improve communication skills, understand cultural differences, and develop leadership qualities.</p>				
<ul style="list-style-type: none"> <input type="checkbox"/> Understands the importance of helping students develop leadership qualities. 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Provides opportunities for students to strengthen leadership qualities. <input type="checkbox"/> Helps students understand cultural differences and their impact on leadership. 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Provides opportunities, methods, feedback, and tools for students to assess leadership qualities in themselves and each other. <input type="checkbox"/> Monitors the extent to which students develop and/or strengthen leadership skills. 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Collaborates with school staff and community partners who are also assisting students in developing leadership qualities. <input type="checkbox"/> Adjusts social work services to address problems identified through monitoring process. 	
<p>Artifacts that may be used to support ratings:</p>				
<ul style="list-style-type: none"> <input type="checkbox"/> Program and training rubrics 				
<ul style="list-style-type: none"> <input type="checkbox"/> Membership lists for community projects 				
<ul style="list-style-type: none"> <input type="checkbox"/> Meeting minutes and agendas 				
<ul style="list-style-type: none"> <input type="checkbox"/> Newspapers about student activities 				
<ul style="list-style-type: none"> <input type="checkbox"/> Assessment protocols 				
<ul style="list-style-type: none"> <input type="checkbox"/> Referrals 				
<ul style="list-style-type: none"> <input type="checkbox"/> Social work logs and notes 				
<ul style="list-style-type: none"> <input type="checkbox"/> Intervention progress notes 				
<ul style="list-style-type: none"> <input type="checkbox"/> Documentation of interventions and outcomes 				
<ul style="list-style-type: none"> <input type="checkbox"/> 				
<ul style="list-style-type: none"> <input type="checkbox"/> 				
<ul style="list-style-type: none"> <input type="checkbox"/> 				
<ul style="list-style-type: none"> <input type="checkbox"/> 				
<p>Evaluator Comments (Required for all “Not Evident” ratings and recommended for all others):</p>				
<p>Comments of person being evaluated (Optional):</p>				

STANDARD 5: School social workers actively reflect on their practice. School social workers are accountable for managing and providing services that strengthen home, school, and community partnerships in support of student learning. School social workers use formal and informal assessments to collect, analyze, and evaluate strategies for effective service delivery. School social workers utilize collaborative relationships with colleagues, families, and communities to reflect and improve their practice.

Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
<p>Element a. School social workers analyze student learning. School social workers think systematically and critically about students’ social, emotional, psychological, and academic success. School social workers collect and analyze student data to plan and evaluate the effectiveness of service delivery. School social workers adapt their practice based on current relevant research findings and data to best meet the needs of students, families, schools, and communities.</p>				
<ul style="list-style-type: none"> <input type="checkbox"/> Thinks systematically and critically about students’ social, emotional, psychological, and academic success. 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Uses appropriate assessment procedures to collect data that inform development of service delivery plans. <input type="checkbox"/> Develops and maintains a written plan of data driven goals and strategies for effective delivery of the school social work program based on research and data. 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Regularly assesses the effectiveness of service delivery based on student data. <input type="checkbox"/> Seeks feedback from school staff members, students, significant adults, and the community on the effectiveness of service delivery and needed changes. 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Collaborates with school staff, students, significant adults, and the community to implement necessary changes. 	
<p>Element b. School social workers link professional growth to their professional goals. School social workers continually participate in high quality professional development specific to school social work practice. School social workers also understand a global view of educational practices, including 21st Century skills and knowledge aligned with the State Board of Education priorities and initiatives.</p>				
<ul style="list-style-type: none"> <input type="checkbox"/> Establishes and maintains clear and relevant professional growth goals. <input type="checkbox"/> Participates in high quality professional development specific to school social work practice. 	<p>... and</p> <p>Participates in high quality professional development that:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Reflects 21st Century skills and knowledge. <input type="checkbox"/> Addresses professional growth goals. 	<p>... and</p> <p>Aligns professional development activities with:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Professional growth goals. <input type="checkbox"/> State Board of Education priorities. <input type="checkbox"/> School and district initiatives. <input type="checkbox"/> Leads school-based professional development activities. 	<p>... and</p> <ul style="list-style-type: none"> <input type="checkbox"/> Develops professional development activities focused on improving professional practice of school social workers in the district. <input type="checkbox"/> Leads focused and rigorous professional development activities at a state or national level. 	

STANDARD 5: School social workers actively reflect on their practice.

Developing	Proficient	Accomplished	Distinguished	Not Demonstrated (Comment Required)
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Element c. School social workers function effectively in a complex, dynamic environment. School social workers understand that change is constant; therefore, they actively investigate and consider new ideas that support students’ social, emotional, psychological, and academic success. School social workers adapt their practice based on current research findings and data to best meet the needs of all students.

<input type="checkbox"/> Keeps abreast of evolving research about student learning and professional practice in school social work.	<p>... and</p> <input type="checkbox"/> Explores new ideas that support students’ social, emotional, psychological, and academic success.	<p>... and</p> <input type="checkbox"/> Strategically and thoughtfully tries new and innovative professional practices that have the potential to better meet the needs of all students.	<p>... and</p> <input type="checkbox"/> Shares results of focused investigations.	
	<input type="checkbox"/> Adapts practice based on current relevant research findings and data to best meet the needs of students, families, schools, and communities.	<input type="checkbox"/> Monitors the impact of changes to professional practice.	<input type="checkbox"/> Leverages resources to integrate findings into ongoing practices.	

Artifacts that may be used to support ratings:

<input type="checkbox"/> Self-assessment
<input type="checkbox"/> Documentation of continuing education—articles, conferences
<input type="checkbox"/> Feedback from students, community members, colleagues
<input type="checkbox"/> Professional development syllabi
<input type="checkbox"/> Work plans
<input type="checkbox"/> Evaluation tool
<input type="checkbox"/> Student outcome data
<input type="checkbox"/> Logs
<input type="checkbox"/>
<input type="checkbox"/>
<input type="checkbox"/>
<input type="checkbox"/>

Evaluator Comments (Required for all “Not Evident” ratings and recommended for all others):

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Comments of person being evaluated (Optional):

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Rubric Signature Page

School Social Worker Signature

Date

Principal/Evaluator Signature

Date

Comments Attached: ____ YES ____ NO

Principal/Evaluator Signature

Date

(Signature indicates question above regarding comments has been addressed)

Note: The school social worker's signature on this form represents neither acceptance nor approval of the report. It does, however, indicate that the school social worker has reviewed the report with the evaluator and may reply in writing. The signature of the principal or evaluator verifies that the report has been reviewed and that the proper process has been followed according to the North Carolina State Board of Education Policy for the School Social Worker Evaluation Process.

School Social Worker Summary Rating Form (Required)

This form is to be jointly reviewed by the schools social worker and evaluator or designee during the Summary Evaluation Conference conducted at the end of the year. Principals are required to complete this form for Initially Licensed School Social Workers. The principal's designee may complete it for Probationary School Social Workers who are not Initially School Social Workers and for Career School Social Workers.

Name: _____
 School: _____ School Year: _____
 Evaluator: _____ District: _____
 Date Completed: _____ Evaluator's Title: _____

Standard I: School social workers demonstrate leadership

Elements	Not Demonstrated	Developing	Proficient	Accomplished	Distinguished
a. School social workers demonstrate leadership in the school.					
b. School social workers enhance the social work profession.					
c. School social workers advocate for students, families, schools, and communities.					
d. School social workers demonstrate high ethical standards.					
Overall Rating for Standard I					
Comments: Recommended actions for improvement: Resources needed to complete these actions:	Evidence or documentation to support rating: <ul style="list-style-type: none"> <input type="checkbox"/> Use of data to guide service delivery. <input type="checkbox"/> Professional association membership and Activities. <input type="checkbox"/> Participation on Professional Learning Communities. <input type="checkbox"/> Facilitation of Child & Family team meetings. <input type="checkbox"/> Minutes and rosters from meetings. <input type="checkbox"/> Follow-up information provided to colleagues. <input type="checkbox"/> Written work plan. <input type="checkbox"/> Presentation materials <input type="checkbox"/> Correspondence and other written communications. <input type="checkbox"/> Case notes. <input type="checkbox"/> Reports of services provided. <input type="checkbox"/> Satisfaction surveys. <input type="checkbox"/> Ethics training documentation. <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 				

Standard II: School social workers promote a respectful environment for diverse populations.

Elements	Not Demonstrated	Developing	Proficient	Accomplished	Distinguished
a. School social workers promote an environment in which each student has a positive, nurturing relationship with caring adults.					
b. School social workers embrace diversity in the school, home, community, and world.					
c. School social workers treat students as individuals.					
d. School social workers provide services that benefit students with special needs.					
e. School social workers work collaboratively with families and significant adults in the lives of students.					
Overall Rating for Standard II					
<p>Comments:</p> <p>Recommended actions for improvement:</p> <p>Resources needed to complete these actions:</p>	<p>Evidence or documentation to support rating:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Assessments of student needs <input type="checkbox"/> Case Management Plans <input type="checkbox"/> Notes from parent and/or family conferences <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 				

Standard III: School social workers apply the skills and knowledge of their profession within educational settings.

Elements	Not Demonstrated	Developing	Proficient	Accomplished	Distinguished
a. School social workers deliver comprehensive services unique to their specialty area.					
b. School social workers possess effective communication skills.					
c. School social workers recognize the interconnectedness of academic, social, emotional, and psychological development					
d. School social workers facilitate student acquisition of 21 st Century skills.					
Overall Rating for Standard III					
Comments: Recommended actions for improvement: Resources needed to complete these actions:		Evidence or documentation to support rating: <input type="checkbox"/> Individual records. <input type="checkbox"/> Counseling or group work rubrics. <input type="checkbox"/> Evidence of student understanding. <input type="checkbox"/> Student self-assessment and surveys. <input type="checkbox"/> Social work notes. <input type="checkbox"/> Work plan establishing goals. <input type="checkbox"/> Attendance records. <input type="checkbox"/> Discipline referrals (ISS and OSS.) <input type="checkbox"/> Dropout, graduation. <input type="checkbox"/> Grades and test scores. <input type="checkbox"/> Referrals to other agencies. <input type="checkbox"/> Child and family meetings, agency meetings. <input type="checkbox"/> Agendas from meetings. <input type="checkbox"/> Referrals to school-based services. <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>			

Standard IV: School social workers promote student learning.

Elements	Not Demonstrated	Developing	Proficient	Accomplished	Distinguished
a. School social workers use a variety of strengths-based methods.					
b. School social workers help students develop critical thinking and problem-solving skills.					
c. School social workers support students as they develop leadership skills.					
Overall Rating for Standard IV					
<p>Comments:</p> <p>Recommended actions for improvement:</p> <p>Resources needed to complete these actions:</p>	<p>Evidence or documentation to support rating:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Program and training rubrics. <input type="checkbox"/> Membership lists for community projects. <input type="checkbox"/> Meeting minutes and agendas. <input type="checkbox"/> Newspapers about student activities. <input type="checkbox"/> Assessment protocols. <input type="checkbox"/> Referrals. <input type="checkbox"/> Social work logs and notes. <input type="checkbox"/> Intervention progress notes. <input type="checkbox"/> Documentation of interventions and outcomes. <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 				

Standard V: School social workers actively reflect on their practice.

Elements	Not Demonstrated	Developing	Proficient	Accomplished	Distinguished
a. School social workers analyze student learning.					
b. School social workers link professional growth to their professional goals.					
c. School social workers function effectively in a complex, dynamic environment.					
Overall Rating for Standard V					
<p>Comments:</p> <p>Recommended actions for improvement:</p> <p>Resources needed to complete these actions:</p>	<p>Evidence or documentation to support rating:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Self-assessment. <input type="checkbox"/> Documentation of continuing education – articles, conferences. <input type="checkbox"/> Feedback from students, community members, colleagues. <input type="checkbox"/> Professional development syllabi. <input type="checkbox"/> Work plans. <input type="checkbox"/> Evaluation tool. <input type="checkbox"/> Student outcome data. <input type="checkbox"/> Logs. <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 				

School Social Worker Signature

Date

Principal/Evaluator Signature

Date

Comments Attached: _____ YES _____ NO

Principal/Evaluator Signature

Date

(Signature indicates questions above regarding comments has been addressed)

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Summary Rating Sheet (Optional)

This form summarizes ratings from the rubric or observation form and requires the rater to provide a description of areas needing improvement and comments about performance. It should be completed as part of the Summary Evaluation discussions conducted near the end of the year. It should be used to summarize self-assessment and evaluator ratings.

Name: _____ Date: _____
 School: _____ District: _____
 Evaluator: _____ Title: _____

Standard I: School social workers demonstrate leadership.	Not Demonstrated	Developing	Proficient	Accomplished	Distinguished
a. School social workers demonstrate leadership in the school.					
b. School social workers enhance the social work profession.					
c. School social workers advocate for students, families, schools, and communities.					
d. School social workers demonstrate high ethical standards.					
e. School social workers demonstrate leadership in the school.					
Overall Rating for Standard I					
Standard II: School social workers promote a respectful environment for diverse populations.	Not Demonstrated	Developing	Proficient	Accomplished	Distinguished
a. School social workers promote an environment in which each student has a positive, nurturing relationship with caring adults.					
b. School social workers embrace diversity in the school, home, community, and world.					
c. School social workers treat students as individuals.					
d. School social workers provide services that benefit students with special needs.					
e. School social workers work collaboratively with families and significant adults in the lives of students.					
Overall Rating for Standard II					

Standard III: School social workers apply the skills and knowledge of their profession within educational settings.	Not Demonstrated	Developing	Proficient	Accomplished	Distinguished
a. School social workers deliver comprehensive services unique to their specialty area.					
b. School social workers possess effective communication skills.					
c. School social workers recognize the interconnectedness of academic, social, emotional, and psychological development					
d. School social workers facilitate student acquisition of 21 st Century skills.					
Overall Rating for Standard III					
Standard IV: School social workers promote student learning.	Not Demonstrated	Developing	Proficient	Accomplished	Distinguished
a. School social workers use a variety of strengths-based methods.					
b. School social workers help students develop critical thinking and problem-solving skills.					
c. School social workers support students as they develop leadership skills.					
Overall Rating for Standard IV					
Standard V: School social workers actively reflect on their practice.	Not Demonstrated	Developing	Proficient	Accomplished	Distinguished
a. School social workers analyze student learning.					
b. School social workers link professional growth to their professional goals.					
c. School social workers function effectively in a complex, dynamic environment.					
Overall Rating for Standard V					

Professional Development Plan (Required)

School Year: _____

Name: _____ Position/Subject Area: _____

School: _____

NC Professional School Social Worker Standards

<ol style="list-style-type: none"> 1. Demonstrates leadership. 2. Promotes a respectful environment for diverse populations. 3. Applies the skills and knowledge of their profession within educational settings. 4. Supports student learning. 5. Actively reflects on his/her practice. 	<p>Standard(s) to be addressed:</p> <p>Elements to be addressed:</p>
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School Social Worker's Strategies

Goals for Elements	Activities/Actions	Expected Outcomes and Evidence of Completion	Resources Needed	Timeline
Goal 1:				
Goal 2:				

School Social Worker's Signature: _____ Date: _____

Administrator's Signature: _____ Date: _____

Professional Development Plan – Mid-Year Review (Required)

To be completed by (date) _____

School Social Worker: _____ Academic

Year: _____

Evidence of Progress Toward Specific Standards or Elements to be Addressed/Enhanced

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Narrative

School Social Worker's Comments:	Administrator's Comments:
School Social Worker's Signature:	Administrator's Signature:
Date:	Date:

Professional Development Plan – End-of-Year Review (Required)

To be completed by (date) _____

School Social Worker: _____ Academic Year: _____

Evidence of Progress Toward Specific Standards or Elements to be Addressed/Enhanced

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Progress Toward Achieving Goals

Goal 1 was successfully completed. Yes <input type="checkbox"/> No <input type="checkbox"/>
Goal 2 was successfully completed. Yes <input type="checkbox"/> No <input type="checkbox"/>

Narrative

School Social Worker's Comments:	Administrator's Comments:
School Social Worker's Signature:	Administrator's Signature:
Date:	Date:

Record of School Social Worker Evaluation Activities (Required)

School: _____ School Year: _____

Position/Assignment: _____

Evaluator: _____ Title: _____

School Social Worker Background: (Briefly describe the school social worker’s educational background, years of experience, assignment, and any other factors that may impact the evaluation)

The North Carolina School Social Worker Evaluation is based, in part, on informal and formal observations and conferences conducted on the following dates:

Activity	Date	School Social Worker Signature	Evaluator Signature
Probationary			
Orientation			
Pre-Observation Conference			
Formal Observation #1			
Post-Observation Conference #1			
Formal Observation #2			
Post-Observation Conference #2			
Formal Observation #3			
Post-Observation Conference #3			
Summary Evaluation Conference			
Professional Growth Plan Completed			
Career			
Orientation			
Pre-Observation Conference			
Formal Observation			
Post-Observation Conference			
Informal Observation #1			
Informal Observation #2			
Summary Evaluation Conference			
Professional Growth Plan Completed			



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