ADELPHI UNIVERSITY

School of Social Work

Ph.D. STUDENT HANDBOOK

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ADELPHI UNIVERSITY
SCHOOL OF SOCIAL WORK

Ph.D. PROGRAM STUDENT HANDBOOK

Adelphi University School of Social Work
Garden City, New York 11530

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For details about Faculty Research, Scholarship & Areas of Interest, please refer to Appendix A

WELCOME FROM THE DEAN

ADELPHI UNIVERSITY
SCHOOL of SOCIAL WORK

OFFICE OF THE **DEAN**
T **516.877.4354**
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ONE SOUTH AVENUE GARDEN CITY. NY 11530

Dear Students:

On behalf of our faculty, staff, and students, I welcome you to the School of Social Work. The Adelphi University's PhD program has a rich history of commitment to training leaders in the Social Work profession since its inception in 1975. We are proud of our graduates who have gone on to serve as full-time academics, non-profit sector CEOs, advanced practitioners and part-time university faculty.

More than at any other time in our history, our social work profession needs to be focused, engaged and pro-active. Our programs hopes to prepare the next generation of scholars, activists and practitioners who promote social justice and human rights in all their endeavors.

Our nationally and internationally renowned faculty are here to guide you in your educational journey. They are committed to your success and are available to you as you pursue your studies. Our faculty are widely recognized for their scholarship, research pursuits, pedagogical strengths and an overall commitment to excellence. Students are provided with an extraordinarily rich experience in the classroom due to the depth of their professors' clinical, research and administrative backgrounds.

I look forward to getting to know you and working with you as you move forward towards realizing your career goals. We are honored that you have made a decision to partner with us on the next chapter of your life. I wish you all the very best in your journey.

Sincerely,

Manoj Pardasani, PhD, LCSW
Dean & Professor

WELCOME FROM THE DIRECTOR OF THE PH.D. PROGRAM

Congratulations on being admitted to the Ph.D. program at the Adelphi University School of Social Work! You have worked hard to join this prestigious program. We are happy that you made the choice to come to Adelphi. We hope that your doctoral education will be exciting, inspiring and challenging. Our unique and flexible curriculum and our exceptional faculty is well suited to meet the educational needs of our diverse student body.

The Ph.D. program is designed to prepare students to assume the role of thought leaders, researchers and practitioner-scholars. We are committed to developing and augmenting your existing skills and preparing you to contribute to social work knowledge base in your area of expertise. Upon graduation, many of you may choose an academic path while some of you may take on leadership roles at agencies. Regardless of your chosen career, we encourage you to embrace a culture of critical thinking and lifelong learning.

While you are a student, there will be many demands on your time and energy. Please make sure to balance demands from home, school and work with self-care. We do hope that you will draw and build on the support of your cohort peers, the larger doctoral student and faculty community, family and friends. Past students have repeatedly touted the value of supportive networks and collaborative partnerships as the cornerstone of successful completion of the Ph.D. program.

The faculty and staff of the Ph.D. program are invested in helping students successfully complete the program. Please do not hesitate to reach out to me and other members of the faculty and staff if we can assist you in any way. In Appendix A of this handbook, you will find bio-sketches of all full-time faculty at the School of Social Work. This handbook is akin to a guidebook and I recommend that you take the time to review and use it as often as needed.

Finally, make sure to have fun by actively collaborating with your peers and faculty members. As the Director of the program, I am committed to serving as a mentor and guide to you in this journey.

On behalf of the faculty and staff, welcome to the program and we wish you all the very best!!

Elizabeth Palley Ph.D., JD, M.S.W.
Associate Professor & Director of the Ph.D. Program

MISSION AND OBJECTIVES OF THE PH.D. PROGRAM

The Ph.D. program of the Adelphi University School of Social Work prepares social work and other human service professionals to assume leadership in the profession. Grounded in an evolving knowledge base, the program aims to expand students' capacities to critically conceptualize, develop, evaluate and disseminate knowledge that is relevant to social problems that have an impact on the human condition.

Our accessible Ph.D. program offers part-time and full-time course which with the aim of developing graduates who are able to:

• Develop their expertise in a specialized area of knowledge and locating it within existing social work knowledge;
• Critically analyze theories, practices, policies, and research;
• Integrate social work research practice, education, and teaching.
• Promote social work values of social justice and equality as they apply social work knowledge to addressing social issues.
• Advocate for and implement social work values and ethics in research and knowledge development.

PROGRAM DESCRIPTION

The Adelphi Ph.D. program is designed for working professionals. There are two program options: part-time and full-time.

Students who elect the part-time option take two courses per semester one day a week for four year. Students who elect the full-time option take four courses two days a semester for two years. Course expectations, however, are the same across both programs. Degree requirements must be completed within prescribed timelines excluding any approved official leaves of absence. Other requirements for students in the program include:

1. Maintenance of a grade point average (GPA) of 3.3 or higher (B+ or higher) throughout the course of study.
2. Complete 48 doctoral level credits.
3. Pass the Candidacy Examinations which are given after completion of 24 credits, i.e., after two years of study for part-time students and one year for full-time students.
4. Obtain an approved dissertation proposal within two years of completing course work regardless of part/full time status in the program (excluding all approved official leaves of absence).
5. Complete a written dissertation and successfully defend it within six years of completing course work (or 4 years after completing proposal defense) regardless of part/full time status in the program (excluding all approved official leaves of absence).
6. Maintain status in the program by (a) registering for course work, (b) registering for Continuous Matriculation after course work has been completed, or (c) securing an approved leave of absence from the Director of the Ph.D. Program.

COURSE OF STUDY

Part-time Schedule	**Full-time Schedule**
First Year (Monday) **Fall** 810 Epistemology & Social Work Knowledge 842 Human Behavior Theory, Empirical Knowledge & Contemporary Practice **Spring** 850 Comparative Approaches to Social Work Research: Quantitative 882 Comparative Approaches to Social Work Research: Qualitative ***Second Year (Wednesday)*** **Fall** 845 Cross-national Perspectives on Social Provision 860 Social Work and Social Science **Spring** 843 Social Work Practice with Individuals: Theory & Research 876 Social Work with Small Systems: Theory and Research	***First Year (Fall)*** **Monday** 810 Epistemology & Social Work Knowledge 842 Human Behavior Theory, Empirical Knowledge & Contemporary Practice **Wednesday** 845 Cross-national Perspectives on Social Provision 860 Social Work and Social Science ***Spring*** **Monday** 850 Comparative Approaches to Social Work Research: Quantitative 882 Comparative Approaches to Social Work Research: Qualitative **Wednesday** 843 Social Work Practice with Individuals: Theory & Research 876 Social Work with Small Systems: Theory and Research
Third Year (Monday) **Fall** 844 Program Development and Evaluation 851 Foundations to Data Analysis: Univariate & Bivariate Statistics **Spring** 856 Multivariate Analyses 857 U.S. Social Work In Historical & National Crossnational Perspective ***Fourth Year (Wednesday)*** **Fall** 853 Advanced Research Topics: Qualitative Data Analysis 878 Theories and Research on Organizations and Leadership **Spring** 811 Social Work Education: Issues & Processes 854 Proposal Development Seminar	***Second Year (Fall)*** **Monday** 844 Program Development and Evaluation 851 Foundations to Data Analysis: Univariate & Bivariate Statistics **Wednesday** 853 Advanced Research Topics: Qualitative Data Analysis 878 Theories and Research on Organizations and Leadership ***Spring*** **Monday** 856 Multivariate Analyses 857 U.S. Social Work In Historical & National Crossnational Perspective **Wednesday** 811 Social Work Education: Issues & Processes 854 Proposal Development Seminar

Independent Study (SWK 899):

Students may take an independent study, with the approval of the Director of the Ph.D. program, when the student can enlist an interested faculty member to serve as the independent study instructor.

CANDIDACY EXAMINATION

AN OVERVIEW

For the candidacy exam, you will be required to complete a 'literature review.' This means that you will complete a review of past literature relating to your topic area. The goal of completing a literature review is to examine and understand what has been done in the past and help you to proceed into your own work with a deeper understanding of established knowledge. This will also help set the stage for your study.

To complete a literature review, you must complete the following tasks:
1. Clearly identify a topic that you are interested in studying.
2. Use the library databases to identify **peer-reviewed journal articles** that pertain to your topic of interest (keep a note of the search terms, phrases, databases, etc. that you searched).
3. Read the abstracts and examine the results and finalize 10-12 articles (no more than 15 in total) that you feel ideally speak to your topic of interest.

Note: Please bear in mind that the articles that you pick on your topic should speak to theoretical, epistemological, empirical, policy and practice aspects related to your area of interest.

4. Start reading the articles and organizing the content in terms of theories, research methodologies, policy and practice content.
5. Formulate the outline.
6. Flesh out each of the aspects (as described in the 'detailed outline' handout).

REMEMBER: In the literature review, you are expected to **'compare and contrast'** the contents of each of the articles and not describe each of the articles in detail. This is an exercise in trying to understand how scholars have used different approaches to study the topic and your job is to summarize the same, not catalogue each article. Use direct quotes from the articles sparingly, paraphrase succinctly.

Some tips: (more details of the exam below)
1. Your literature review should be organized clearly into sections.
2. Begin with a brief introductory paragraph stating your topic and briefly describing your search strategies, results and your decisions for choosing the articles (not more than 15 in total).
3. Address the theoretical underpinnings that have been commonly addressed and used the past by scholars who have studied this topic and compare and contrast and weigh in on which ones were most appropriate in your opinion.
4. Examine the research methodologies used by the researchers in the past and compare and contrast the methods, the strengths, weaknesses of the methods used.
5. Compare and contrast the policy and practice implications (separately) that emerge from the articles.
6. Conclude with a paragraph or two with the gaps that you have identified and how you think you think your research area of interest can potentially fill that gap.
7. Use APA style citation throughout the paper.
8. The expected length of your literature review is around 12-15 pages, double spaced and 12 size font with 1" margins.

Detailed Instructions

Write 'one' paper that will have various components including critically reviewing theoretical perspectives, research methodologies (quantitative, qualitative or mixed), and policy and practice implications in your topic area.

Bring relevant peer-reviewed journal articles that will inform your paper on these various aspects.

Practice Academic Honesty: You are required to adhere to the Code of Conduct as stipulated by the University guidelines. Please refer to http://operations.adelphi.edu/policies/code-of-conduct/ for further information.

      a. All exams will be uploaded on to TurnItIN for grading.
      b. Internet searches during the exam is not allowed and will be sufficient cause for the student to earn a failing grade in the exam.

A. FORMAT:
- **Students will be given the exam when school ends and have until the beginning of August to submit their paper.**
- **Please ensure that the paper that you submit is your own original work. Keep direct quotes to a minimum, paraphrase your ideas, and actively synthesize the key points from each of the articles and present it succinctly.**

Grading Rubic

- Grading:
    - Topic area identification + Problem statement: 10 points
    - Epistemological & Theoretical frameworks: 25 points
    - Past research critique: 25 points
    - Policy implications: 20 points
    - Practice implications: 20 points
- Two faculty members will independently grade the whole exam. All students will be given extensive feedback. Grading will take place within 2 weeks of paper submission.
- Students will be given a grade of revisions necessary, pass or high pass.
- If a student is required to revise their paper and the graders are not in agreement that it is a passing paper, a third grader will be asked to grade the paper/ provide a final grade.
- A student who revises their paper will receive their grade within 5 days unless there is a need for a third grader in which case, they will be told within 8 days.

Candidacy Exam For Doctoral Students

Goal of the candidacy exam: To evaluate students' competency to complete the tasks involved in working towards completing a proposal and dissertation subsequently. Assignment: Complete a literature review on your research topic.

1. State what area of inquiry you plan to discuss in this literature review. <u>Clearly articulate a topic area.</u>
   Write a brief problem statement on your **topic area** outlining the key reasons for wanting to study it, including extent of the problem, populations that may be affected by the same, and the importance of studying this topic.

2. What are some salient **epistemological issues** in conducting research in this area of inquiry? Select an **epistemological perspective** and discuss how this perspective informs your approach to inquiry.

   In consideration of various **theories** (e.g., individual or systems practice, organizational, macro-sociological, economic and human behavior) that have been used in past research, **pick two** that you consider most relevant for your topic. Discuss the relative strengths and limitations of these theories as they pertain to your research topic.

3. Critically review the literature in your topic area with respect to **research methods** and summarize the key findings. In your review, highlight the strengths and weaknesses of the methods and designs that were used to further the knowledge, and discuss their appropriateness for the research question/s under examination. Support your assessment with a clear rationale.

4. Explain how policy relates or is excluded from to the theoretical perspectives that you have chosen to examine your topic area. Is there a policy that has been designed to address this issue? If so, using a specific policy analysis theory, examine the extent to which the policy works to help address this problem.   If not, identify a specific policy analysis theory and describe how it could help to focus the policy implications of your literature review.

5. Explain how individual and systems practice is included or excluded from the literature you have examined related to your topic area. Discuss key implications for practice based on the review of the literature; analyze how **specific** individual and systems theories help inform the practice implications of your literature review

CONTINUING MATRICULATION

Following completion of the 48-credit course requirement and successfully passing the Candidacy Examination, students must register for Continuing Matriculation if they wish to remain in good standing in the Ph.D. Program and avail themselves of the University's resources, including the Swirbul Library. Students who are not registered and who do not have an approved

leave of absence (p. 10) will be considered to have left the program and must petition the Director of the Ph.D. Program for readmission within the 10-year time limit. Students who seek readmission more than 10 years after matriculation will be considered as new applicants to the program.

The two options for Continuing Matriculation status are:

SWK 895 Continuing Matriculation with Advisement
Or
SWK 896 Continuing Matriculation without Advisement

Students are allowed dissertation advisement during their coursework.   Advisement can be taken either with the required courses, typically after the student has successfully completed the comprehensive exams. Students may also choose to start on the advisement following completion of course requirements. If students get advisement while they are taking at least one doctoral course, they do not have to pay an additional fee for advisement for that semester or enroll in SWK 895 or SWK 896. Students will need to speak with the Program Director should they wish to get advisement during their coursework.

- Matriculation with advisement should be chosen when the student plans to meet regularly with an advisor or have their material reviewed by their advisor. The cost for this is equivalent to a 3-credit course, plus matriculation fees.
- Matriculation without advisement should be chosen when a student does not expect input from the advisor during the upcoming semester (an example might be during data collection). The cost for this is the matriculation fees only.
- Students who have completed coursework must register every semester for one of these two, unless they have requested and been granted a leave of absence.

LEAVE OF ABSENCE

Students who wish to remain in good standing in the Ph.D. program but are unable to pursue their course work or dissertation study must formally request a leave of absence. Leaves are granted for reasons that preclude attendance in classes or pursuit of research on a dissertation because of extenuating circumstances (e.g., health, family or professional responsibilities). Leave of absence may only be considered in the cases of students who are in good academic standing.

A written request for a leave of absence must be submitted to the Director of the Ph.D. Program. The leave is subject to the approval of the Director and is granted for no more than one year at a time (two academic semesters). Total leaves may not exceed two years or four academic semesters. Students on leave of absence may not use the resources of the University, including the library and faculty advisement. The time that a student is on leave is not counted in determining the 10-year time limit for completion of all requirements for the degree (see the following section for the Timetable).

Readmission after a Leave of Absence

Readmission to the University, except from a medical leave, is sought in writing from the dean of the appropriate school or college and is subject to the particular readmission policies of that graduate program.

Withdrawal for Medical Reasons

Students requesting a withdrawal from the University because of medical reasons must submit the appropriate medical documentation and a letter requesting a medical withdrawal to the **Office of Academic Services and Retention** [Requirements for Medical Leave of Absence can be found here: http://academics.adelphi.edu/asr/formspubs.php]. This must be done during the semester for which the leave is requested. Students approved for medical withdrawal might have a credit posted to their account to be applied toward future semesters. All unused credit will be forfeited after one year of issuance and tuition and fee charges will not be refunded. Students who withdraw from the University for Medical Reasons will be dropped from all of their courses. Students wishing to return after a Medical Withdrawal must submit medical documentation clearing them for return to the Office of Academic Services and Retention.

TIMETABLE FOR COMPLETION OF THE PH.D. PROGRAM

- Students must register for and take the Candidacy Examinations following completion of 24 course credits, unless there are extenuating circumstances. <u>If so, the student should appeal in writing to the Director of the Ph.D. Program for permission to delay the examination.</u>
- Students must have an accepted dissertation proposal not later than 2 years after they have completed their coursework, excluding any official leaves of absence. When appropriate, based on the recommendation of the adviser to the Director of the Program, students may be granted an extension of a maximum of 2 semesters (one semester at a time) to complete their proposal defense. However, this will automatically mean that the time that the time for dissertation defense is reduced accordingly.
- Students must complete the dissertation and successfully defend it in an oral examination and have the dissertation accepted by the faculty no later than 6 years after they have completed their coursework, excluding any official leaves of absence.
- <u>Matriculation in the Ph.D. Program may not exceed 10 years for a part-time student and 8 years for a full-time student; this time period is exclusive of any official leaves of absence</u>.

FACULTY ADVISEMENT

The Director of the Ph.D. Program serves as the advisor for students in the first two years of study and, after that, until a member of the faculty has agreed to serve as their Dissertation Advisor.

After successfully passing the Candidacy Examination (p.7), students identify a faculty advisor who specializes in the subject area of their prospective dissertation or its research methods. The responsibilities of the Dissertation Advisor are to:

- Assist in selection of a research topic and in the preparation of a Dissertation Proposal (See Dissertation Proposal Outline, Appendix C);
- Serve as Chairperson of a Dissertation Proposal Committee (DPC) that determines whether the proposal is acceptable. The DPC consists of the Advisor and two other members of the faculty of the Adelphi University School of Social Work chosen by the Dissertation Advisor in consultation with the student. Preferably, these two members of the faculty should also be members of the Dissertation Evaluation Committee (DEC) (pp. 14-18);
- Select the DEC with the student;
- Provide ongoing mentorship to the student in carrying out the research project and determining when, in consultation with the two other AUSSW faculty members on the DEC, the dissertation is ready to be defended;
- Serve as Chair of the DEC and oversee whatever additional work on the dissertation is necessary following the oral defense of the dissertation.

THE DISSERTATION PROCESS

The Ph.D. dissertation is a research-based, scholarly document that demonstrates both breadth and depth in a substantive area of inquiry. It is the result of thoughtful, planned, and searching inquiry into a significant problem in the field of social work or social welfare. It should be of sufficient scholarly quality to be judged publishable according to the best current standards in the field, either as a whole or in part. The culmination of the Ph.D. program is the presentation and oral defense of the Dissertation.

Approval of a Dissertation Proposal

There are two distinct stages to the dissertation process: the proposal stage and the stage leading to oral defense.

Proposal Stage Logistics

- Students have two years from completing their coursework to obtain an approved proposal.
- A student who has not obtained an approved proposal within 2 years, but has extenuating circumstances and is making progress, may make a formal request for a one-semester extension from the director of the program. This formal request would be in the form of letter briefly outlining the extenuating circumstances and the progress made/anticipated. The decision to grant extensions is determined in consultation with the dissertation advisor. Extensions will not be granted indefinitely. The expectation is that a student granted a one-semester extension will be able to obtain an approved proposal within that time frame. Following the granting of a one-semester extension, a second extension will not be granted unless the advisor/committee members feel that enough progress has been made that the student has a very good chance of gaining approval of their proposal within the next semester.
- Students can request a one-semester or one-year leave of absence from the program at any time, including during the proposal stage.   Leaves of absence are not counted toward the two year proposal deadline. However, there are time limits to leaves of absences as stipulated in the student handbook.
- Registering for matriculation without advisement does count toward the 2-year deadline.

The proposal should follow the guidelines established in the Dissertation Proposal Outline (Appendix C). All students are expected to develop their proposals should be developed in consultation with the student's Dissertation Advisor. In consultation with the student, the Advisor selects the Dissertation Proposal Committee (DPC) with the following composition and responsibilities:

- <u>Composition</u>. The DPC comprises of a total of four members; three from the School of Social Work (including the advisor), and one external reviewer. The Dissertation Advisor and two other members of the faculty of the School of Social Work, preferably with expertise in the subject matter of the study or its methodology, will comprise the DPC. The expectation is that these faculty members will also serve on the Dissertation Evaluation

Committee (DEC), and since one member of the DEC must be a member of the tenured faculty, it is advisable that the DPC should also consist of at least one faculty member with tenure. The advisor works with the doctoral candidate to also locate an appropriate external reviewer, who should have neither a working nor a personal relationship with the student. The external reviewer must be an outside scholar/expert who holds a Ph.D. or equivalent degree and specializes in the subject area of the dissertation. Someone who has published in this area would be ideal. Someone who has not published but has practice experience in the subject area, knows the literature, and can comment on methods, analyses, and conclusions would also be appropriate for this role.

- Responsibilities. When the Advisor considers the proposal ready, the Advisor, in consultation with the student with send the Proposal for the committee's review. Members of the DPC will individually review drafts of the proposal upon request of the Dissertation Advisor and will make suggestions for improvement. The Dissertation Advisor will communicate with the DPC members to determine when the proposal is ready for formal review. At that point, the DPC will meet with the student to determine the status of the proposal. The DPC can decide to:

    • Accept the proposal without reservation
    • Accept the proposal with written recommendations for modification
      or
    • Reject the proposal.

If the proposal is found to be satisfactory, the members of the DPC will provide any suggestions that they have for conducting the dissertation research.

If the proposal is accepted with written recommendations for modification, the DPC members should decide whether it is necessary for all members of the committee to review the changes or whether the Dissertation Advisor works with the student without being required to consult further with the other members on the final version of the proposal.

If the DPC rejects the proposal, it:

    • Provides the student with a written critique of the proposal and the DPC's
      reasons for not accepting the proposal at this time;
    • Makes suggestions for improvement of the proposal.

A student whose proposal has been rejected may request a subsequent meeting with the DPC for reconsideration on the basis of new material he or she wishes to present in response to the DPC's criticism. Requests for reconsideration are made to the student's Dissertation Advisor, with a copy to the Director of the Ph.D. Program. The Dissertation Advisor, as chair of the DPC, forwards this information to the other members and arranges a meeting of the DPC within two weeks.

If one of the faculty members has suggested changes, the proposal should be given back to that faculty member to review with the changes.

The Dissertation Advisor is responsible for informing the Ph.D. Office of the approval of a proposal and filling out and placing the appropriate form (Appendix D) in the student's file.

Proceeding to Defense Logistics

- Students have six years from completing their coursework to successfully defend their dissertation. Thus, a student who obtained an approved proposal one year after completing coursework has five years to defend their dissertation.   A student whose proposal was approved three years post-coursework (with a one-year extension) has three years to defend their dissertation.

Approval of the Dissertation

Each completed dissertation is evaluated at an oral examination or defense by a Dissertation Evaluation Committee (DEC). The Advisor schedules this examination when the student nears completion of the dissertation.

The DEC is selected by the Dissertation Advisor in consultation with the student and consists of four members, the advisor, two members of Adelphi University School of Social Work [AUSSW] faculty, and an external reviewer. Of the two AUSSW faculty, at least one of whom must be tenured, and preferably both of whom are previously served on the student's DPC.

- Students work with their advisor and the two other AUSSW members of their dissertation committee.
- An external reviewer is added to the panel prior to proceeding to defense if not done earlier.   The advisor works with the doctoral candidate to locate an appropriate external reviewer, who should have neither a working nor a personal relationship with the student. The external reviewer must be an outside scholar/expert who holds a Ph.D. or equivalent degree and specializes in the subject area of the dissertation.   Someone who has published in this area would be ideal.   Someone who has not published but has practice experience in the subject area, knows the literature, and can comment on methods, analyses, and conclusions would also be appropriate for this role.

Members of the DEC should be designated at least two months before the candidate expects to complete the Dissertation.

The responsibilities of members of the DEC are to:

- Consult with the dissertation advisor regarding the readiness of the dissertation for the defense, make written comments on the dissertation regarding needed pre-defense changes and make the decision regarding the readiness of the dissertation for the oral defense (only the AUSSW members of the DEC). Once an external reviewer is chosen, the external reader and the other two committee members read the dissertation.   They then send the advisor a communication (via letter or email) stating either that they judge the dissertation to be "defendable", in which case a defense is scheduled, or that they do not judge it to be defendable, in which

case they send the advisor their reasons. The advisor then communicates this to the student;

- Attend the oral defense and address questions to the candidate;
- Determine the disposition of the dissertation based on both the written document and its defense;

Four typed copies of the completed draft of the dissertation must be available for distribution to the members of the DEC at least eight weeks prior to the oral examination. The dissertation must be written in standard form using APA style.

The student will send copies of his/her dissertations to all committee members, including the outside reader, and ask for feedback within a month. The student will make all corrections and/or changes within two weeks of receiving the feedback and provide the updated copies to the committee. The student should indicate on a separate document the revisions that were made.

The Dissertation Advisor serves as the Chairperson of the DEC. The Chairperson is responsible for notifying the Office of the Ph.D. Program of the scheduling of the oral examination. The Ph.D. Office secures a room for the defense, formally invites the outside member of the DEC and informs the Faculty of the School of Social Work of the name of the candidate, title of the dissertation and the date, time and place of the oral defense. Members of the Faculty and Ph.D. students are invited to attend the oral defense. If they plan to attend, they are requested to inform the Ph.D. office of their intention to do so. All faculty members/doctoral students who attend will do so in the capacity of observers only. The Ph.D. office reserves the right to limit the number of student attendees.

The candidate is completely responsible for the content of the Dissertation and is expected to be able to explain all concepts and procedures that are used in the research, to defend all decisions related to data collection and analyses and to explicate its interpretations and conclusions.

The following decision categories are used by the DEC:

- Pass – Level I: Both the written document and oral defense are acceptable.

- Pass – Level II: The defense is acceptable, but the written document requires minor modifications that must be completed within a month of the oral defense.

- Pass – Level III: The oral defense is acceptable, and the written document is conditionally acceptable. However, the written document needs extensive revisions that will require more than a month to complete and that should be completed within a specified length of time. The date for completion will be formally established by the candidate and the committee and indicated on the evaluation form.

- Provisional Fail: Either the oral defense or written document is not acceptable in its present form. The committee can recommend that the candidate be allowed to

resubmit a major revision of the written document and/or repeat the oral defense after further revision.

- Final Fail: Neither the oral defense nor the written document is acceptable, and the committee does not believe additional revisions or further discussion will render it acceptable.

The student is informed of the DEC's evaluation immediately both orally and in writing, that is, at the conclusion of its deliberations that immediately follow the student's oral defense. In the event of Level II or III passes, the DEC determines whether the Dissertation Advisor has sole responsibility for determining the acceptability of the revisions, whether all or part of the revised dissertation must be submitted to and approved by committee members and whether the DEC needs to reconvene to determine whether the dissertation is acceptable.

The Dissertation Advisor signs the certificate of acceptance of the report when all recommendations have been met. Any revisions or modifications requested by the DEC at the oral defense must be completed before the doctoral candidate will be awarded a doctoral degree.

Publication of the Dissertation

Students are expected to work with the doctoral office towards publishing their dissertation. They will be instructed to reach out to Ken Herold to have your dissertation uploaded to the library system and to be available online.
Note: The doctoral office will update students prior to dissertation defense about the procedures for publication.

REGISTRATION

The Ph.D. office informs students of the courses that they are required to take prior to each semester. Registration can be completed on-line through the Course Listing, Advising and Student Service (C.L.A.S.S.) system that can be accessed on the internet at http://class.adelphi.edu or through the University's website at www.adelphi.edu. Registration requires Faculty Advisor approval that can be secured on-line. Students who are cleared financially and administratively may register by the dates established by the Registrar. They are then billed by the Office of Student Financial Services.

The Ph.D. Program reserves the right to change class schedules or change instructors as necessary.

Students electing to take courses in other departments must have prior approval from their advisors.

Deadlines

At the start of each semester, deadline dates are given for dropping courses after the official starting date of classes for that semester. Students may check the Ph.D. office for these dates and for the University refund and late registration fee policy.

TRANSFER CREDIT

Courses must have been taken within the past five years to be considered for receiving transfer credit. The content of the course(s) for consideration must be comparable to the Ph.D. course(s) for which it is a substitute. The maximum transfer credit allowed is six credits (two courses). The student requesting transfer credit must submit a copy of the course outline or syllabus and copies of course assignments to the Director of the Ph.D. Program. The Director, in consultation with relevant members of the Ph.D. faculty, will decide whether courses are transferable.

GRADING POLICY

All Ph.D. level courses, except SWK 895 and SWK 896 (Continuing Matriculation with Advisement and Continuous Matriculation without advisement), will be graded with letter grade on a 4.0 grade point system. The points assigned to letter grades are as follows:

A   4.0 = 93 and above
A-   3.7 = 90-92
B+   3.3 = 87-89
B   3.0 = 83-86
B-   2.7 = 80-82
C+   2.3 = 77-79
C   2.0 = 73-76
C-   1.7 = 70-72
F   (0) = 69 and below

The nominal definition of letter grades is:

A excellent work
B good work
C marginal work
F failing work

The criteria for evaluation of a student's work are:

- Mastery of course content
- Critical thinking
- Originality
- Organization of material
- Writing ability
- Integration and application of course content to social work
- Ability to conceptualize
- Theoretical sophistication

REQUIRED GRADE POINT AVERAGE

Students are required to maintain a minimum grade point average of 3.3 to remain in good standing in the Ph.D. program. A prerequisite for taking the Candidacy Examination is a 3.3 grade point average for all Ph.D. courses taken at Adelphi University in fulfillment of the course requirement for the Candidacy Examination. This level of performance is required as well for courses taken subsequently to the Candidacy Examination in the remaining eight required courses, hence for graduation from the Ph.D. program and receipt of the degree.

INCOMPLETE GRADES

With extenuating circumstances students may request a grade of Incomplete (I) for a course. The student and instructor must complete and sign an Incomplete Agreement form and return the form to the Ph.D. office. Students are allowed to carry an Incomplete for a maximum of one calendar year. If the course has not been completed in that period, it will automatically be changed to a Failure (F).

Students who have received an Incomplete in a prerequisite course and are enrolled in the subsequent course have until the second meeting of the subsequent course to remove the Incomplete. If the Incomplete is not removed, they must withdraw from the course.

FINANCIAL AID

Graduate Assistantships

A limited amount of financial aid is available through graduate assistantships. Graduate assistantships are based on the needs of the School of Social Work as well as merit. For each 35 hours of work, the graduate assistant gets tuition remission of one (1) point. The limit per semester is 105 hours or remission for one, three-point course.
To apply for graduate assistantship, contact Patricia Durecko, Coordinator of Budgets, 516-877- 4383.

Scholarship and Fellowships

The Rita Paprin Memorial Scholarship is available to bachelors, masters, and Ph.D. students who have demonstrated experience with, and commitment to, changing social policy.
To apply for the Rita Paprin Memorial Scholarship, contact Elizabeth Szpilka, Coordinator of Graduate Admissions, 516-877-4384.
The Ph.D. office informs students of any scholarship or fellowship opportunities for which they are eligible. They do so by email and by posting the information outside the Ph.D. office. Students are encouraged to explore possible funding sources through the University Financial Aid Office which stays apprised of student loans available for graduate study.

Agency Tuition Remission

Students employed in social work agencies affiliated with the School of Social Work's field education program may be eligible for agency tuition remission. To qualify, the student's agency must designate accrued tuition remission credits to the employee consistent with the University's policy for agency tuition remission.

For more information about agency tuition remission, contact Patricia Durecko, Coordinator of Budgets, 516-877-4383

EMAIL AND OTHER COMMUNICATIONS

All registered students are provided with an official Adephi Univeristy GMail Email account. To receive Email accounts and passwords, students should go to the Help Desk at the Information Commons on the 2nd floor of the Swirbul Library. Email accounts can be accessed from any computer via the worldwide web. Using the password provided, students may also access MOODLE, an online learning environment used by many professors to post course outlines, assignments and documents and to conduct class discussions.

Students will be informed by their official Email of important events, class cancellations, dates for registration and opportunities for financial aid. Students are therefore strongly advised to read their Emails from the Ph.D. office frequently.

Mailboxes for full-time and part-time faculty, administrators and staff are located in room 223 of the School of Social Work Building.

GRADUATION

In order to receive a degree, all students must apply for graduation. Applications are available online using eCampus through CLASS. The deadlines for filing are posted by the University on the University's Academic Calendar (http://www.adelphi.edu).

In order to be approved for graduation in January, an approved revised dissertation will have to be submitted by January 10. The deadline for May graduation is April 1 and August graduation is August 1.

ACADEMIC AND ADMINSTRATIVE POLICIES AND PROCEDURES

Academic Honesty and Plagiarism

Academic integrity is fundamental to the pursuit of knowledge. All members of the Adelphi community are expected to abide by the Code of Academic Honesty, which states that "The University is an academic community devoted to the pursuit of knowledge. Fundamental to this pursuit is academic integrity. In joining the Adelphi community I accept the University's Statement of Academic Integrity and pledge to uphold the principles of honesty and civility embodied in it. I will conduct myself in accordance with ideals of truth and honesty and I will forthrightly oppose actions which would violate these ideals."

Everyone in the University community shares the responsibility for securing and respecting an environment conducive to academic integrity. Academic dishonesty will not be tolerated, and persons who breach academic integrity will be sanctioned in accordance with procedures set forth in the section on academic dishonesty by a Ph.D. student/candidate.

Violations of the Code of Academic Honesty include, but are not limited to, the following:
1. Fabricating data or citations
2. Collaborating in areas prohibited by the professor
3. Unauthorized multiple submission of work
4. Sabotage of others' work, including library vandalism or manipulation
5. **Plagiarism**: presenting any work as one's own that is not one's own. It includes any unacknowledged direct quotes [including sentences and paragraphs from any printed or electronic sources] and/or paraphrased but uncited ideas that appear in any written work submitted by a student.
6. The creation of unfair advantage
7. The facilitation of dishonesty
8. Tampering with or falsifying records
9. Cheating on examinations through the use of written materials or giving or receiving help in any form during the exam, including talking, signals, electronic devices, etc.

In the doctoral program, academic dishonesty is a serious offense which may result in dismissal from the program. The penalty for academic dishonesty within the course is determined by the instructor. However, any instructor encountering an incident of plagiarism/any other form of academic dishonesty by a doctoral student will report the same to the Director of the Doctoral Program. In the case of plagiarism, the Director will assign the student required training and competency building on plagiarism.

The report of the student's academic dishonesty will be kept on file in the Director's office. If the Director receives two reports of plagiarism about a particular student, s/he will convene an Academic Standards Panel comprising three faculty members from the School of Social Work. The professor will provide to the panelists and the student a copy of a written statement describing the instance/s of academic dishonesty. The student may respond in writing to the instructor's comments. The panel will meet with the student and the instructor and will then deliberate and make a recommendation to the Dean which may result in dismissal from the program.

In the case of more egregious incidents of academic dishonesty (for e.g., entire paper plagiarized, stolen/purchased paper, cheating on an exam), the Director will refer the student directly to an Academic Standards Panel comprising three faculty members from the School of Social Work. The professor will provide to the panelists and the student a copy of a written statement describing the instance/s of academic dishonesty. The student may respond in writing to the instructor's comments. The panel will meet with the student and the instructor and will then deliberate and make a recommendation to the Dean which may result in dismissal from the program.

Students who wish to appeal the decision may do so by following the procedures outlined here: http://operations.adelphi.edu/catalog/protocol-for-student-complaints/.

Persons with Disability: Legal Rights and Responsibilities

A person with disability is defined in federal legislation as any person who has a physical or mental impairment that substantially limits one or more major life activities. Physical, emotional and learning disabilities are covered. It is the student's responsibility to inform the University's Office of Disability Support Services concerning special problems and needs so that the proper accommodations can be made. Special parking arrangements are available for those students who have impairments that prevent them from using the facilities made available for the general student body. Please apply for a special parking permit through the Office of Disability Support Services.

For more information, please contact the Student Access Office at: 516-877-3806 or at sao@adelphi.edu.

Anti-Harassment Policy and Procedures

The University's definition of harassment includes but is not limited to: unwelcome sexual advances, requests for sexual favors or any other visual, verbal or physical conduct of a sexual nature; or any derogatory visual, verbal or physical conduct that reflects bias abased on race, creed, color, national origin, ethnicity, sex, sexual orientation, disability, genetic predisposition or carrier status,* age, religion, marital status, veteran status or any other basis protected by applicable local, state or federal laws, when:

1. Submission to the conduct is made either explicitly or implicitly a condition of the individual's academic or employment advancement.
2. Submission to or rejection of the conduct is used as the basis for academic or employment decisions affecting the individual;
3. The harassment has the purpose or effect of unreasonably interfering with the individual's academic or work performance; or creating an environment which is intimidating, hostile or offensive to the individual.
4. The harassment is not directed at a specific individual but nevertheless has the effect of unreasonably interfering with work or academic performance or creating an environment which is intimidating, hostile or offensive to others.

*genetic predisposition or carrier status - Genetic predisposition means a genotype that increases the risk of disease but does not make it certain. Carrier status means individuals who have inherited a disease-causing allele (gene).
See visit http://hr.adelphi.edu/title-ix/university-policy/ for anti-harassment policies and what actions students should take if they think they are being harassed.

Internal Grievance Procedures for Ph.D. Student Complaints

Review Committee, **only the Instructor** may change a student's grade.
This procedure pertains to students who feel they have been summarily or unfairly treated by a member(s) of the School of Social Work faculty or have had a decision of a non-disciplinary nature rendered against them in what they consider to be an unfair or an unjust manner and that this treatment does not fall within the definition of harassment. Students with such complaints shall have recourse to the Director of the Ph.D. Program who shall discuss the matter with the student and attempt to resolve it. If the student is not satisfied, the Director of the Ph.D. Program shall ask the student to put his/her grievance in writing. The Director will convene a Grievance and Review Committee consisting of three members of the School of Social Work faculty to consider the grievance and make a recommendation to the Dean of the School of Social Work. If the student's complaint involves the Director of the PhD Program, the student may meet with the Associate Dean for Academic Affairs. If not satisfied, the Associate Dean may ask him/her to put the grievance in writing and convene a Grievance Review Committee.

The Ad Hoc Grievance and Review Committee will review the written complaint and meet with the student and with the member(s) of the faculty by whom the student claims to have been treated unfairly.

Based on the evidence, the Committee will make a recommendation to the Dean of the School of Social Work who, as the highest administrative officer of the School of Social Work, will determine what further action is to be taken.

Students who wish to grieve an event or decision must do so in writing to the Director of the Ph.D. Program or the Associate Dean for Academic Affairs within four weeks of its occurrence. Complaints that are brought to the attention of the Director later than four weeks will be reviewed by the Director or Associate Dean, as applicable, in consultation with the Doctoral Program Committee. The Director or Associate Dean will subsequently communicate with the student about the recommendation of the committee regarding a Grievance and Review Committee if applicable.

Unethical and/or Unprofessional conduct by a Ph.D. Student

Unethical or unprofessional behaviors including harassment, questionable research practices, and other behaviors that violate the Anti-Harassment Policy and/or the NASW Code of Ethics. For Anti-Harassment Policy, see Appendix F; for the NASW Code of Ethics, see Appendix G. Anti-harassment complaints are handled by the University's Anti-Harassment Panel.
If a member of the faculty considers that a Ph.D. student has engaged in behavior that violates ethical or professional standards, he or she should: 1) Meet and discuss this alleged conduct with

the student; 2) If, after discussing the matter with the student, the faculty member feels that disciplinary action should be considered, he or she will make a written complaint to the Director of the Ph.D. Program.

After receiving the written complaint, the Director of the Ph.D. Program will convene an Ad Hoc Ethics Review Committee consisting of three members of the faculty of the School of Social Work to consider the complaint and make a recommendation to the Dean regarding disciplinary action;

The Ad Hoc Committee meets with the student and with the faculty member who has made the complaint and determines whether the student has engaged in unethical behavior and what further action should be taken.

The Ad Hoc Committee submits a written recommendation to the Dean of the School of Social Work who makes the decision whether and what disciplinary action should be taken. Possible recommendations by the Ad Hoc Committee may include dismissal from the program.

FACULTY RESEARCH, SCHOLARSHIP AND AREAS OF INTEREST

Appendix A

Professor Wahiba Abu-Ras's research area of interest is in mental health and trauma among Muslim and Arab-Americans. Dr. Abu-Ras published numerous articles and book chapters on various issues such as domestic violence among Arab immigrant women, the impact of 9/11 on the Muslim community; the role of religion/Imams in mental health settings, and the needs of chaplaincy services for Muslim patients, including access and barriers to services; the role of religion in fostering resiliency; and intersectionality and mental health issues. Her current international research interest includes psychological distress among Arab and Muslim parents of children with disabilities, substance abuse among college students, breast cancer and mental health issues among Muslim women, and the impact of the blockade on Qatari Citizens' and residents well-being. Dr. Abu-Ras serves as a member of national and international refereed journal editorial boards. She has taught social work courses and conducted several training workshops in several countries, including United Arab Emirates, Palestine, Syria, and Saudi Arabia, and between 2017-2019 assisted in establishing a Master in Social Work Program in Qatar. Dr. Abu-Ras. She was nominated three times for the Excellent Teaching Award and a recipient of a Fulbright scholarship.

Professor Beverly Y. Araújo-Dawson's research interests include the impact of psychosocial stressors such as discrimination and language barriers on the mental health of Latino immigrants and the development of culturally competent interventions for Latino communities. As a social worker, she has conducted individual and family counseling with Latino/a immigrant communities in New York City. She is currently the Principal Investigator of the "Building Resilient Families: Fortaleciendo a Familias Immigrantes" Project that focuses on the development of culturally competent educational and mental health initiatives for Latino immigrant families.

Associate Professor Richard Belson specializes in strategic therapy with individuals, couples and families. He studied for many years with Jay Haley and Cloe Madanes and was also a supervisor for Haley and Madanes in Washington, DC. Professor Belson has given workshops throughout the United States and in a number of cities in Europe. "The NY Times has done a full page discussion of Dr.Belson's original interventions".

Professor Roni Berger's areas of expertise include trauma, specifically cultural aspects, supervision and posttraumatic growth, international social work education, the application of evidence-based practice in field education and clinical supervision, families, specifically non-traditional families, immigrants and refugees, and, group work. Her most recent research was about self-salience, social alienation and psychological distress in Israeli Arab and Jewish adolescents, supervision for trauma-informed practice, the experience of those who were born in extreme religious context and opted out. She has published numerous articles, authored, co-authored and edited books and presented extensively nationally and internationally, served as a keynote speaker and expert participant in international task groups. She has taught, trained and

conducted research in Australia, Israel, Hong Kong, Nepal and the United States. Her research has been supported by institutional and external funding. She is the recipient of two Fulbright Senior Specialist award and one Fulbright Nepal award. She has served on national and international editorial and advisory boards in the US and abroad. Prior to immigrating to the US, she served in scholarly, professional, and administrative capacities in Israel. At Adelphi she has taught across programs and courses and advised dissertations of diverse topics employing diverse methodologies.

Professor Carol S. Cohen's primary areas of focus are social work with groups, international social work, organizational and community practice. She has been involved with a range of social work fields, settings and populations, including youth programs, disaster response, field education and training, social work education and regulation, housing, older adults, and child welfare. Dr. Cohen is committed to collaborative, participatory research and evaluation, seeking to engage practitioners, students and consumers in examining outcomes and planning new interventions. Her research often incorporates both qualitative and quantitative methods, and she is considered an expert in focus group research. Dr. Cohen's publications include 5 books, with 1 in contract (the Routledge International Handbook on Social Work with Groups). Alone and with others, she has authored over 30 journal articles, book chapters and reviews. She is an editorial board member of Groupwork and the Journal of Social Work with Groups, as well as a reviewer for other journals. Dr. Cohen holds and has held leadership positions in national and international boards and organizations, including CSWE, IASWG, IASSW, Catholic Charities Neighborhood Services, and Partnering for Change. She is a Fulbright Scholar, and has active collaborations with partners and programs internationally.

Professor CarolAnn Daniel, Ph.D., is a professor of social policy. Her research interests include health equity and identity, equity and inclusion in educational and organizational settings. Her current work focuses on the socio structural drivers of HIV/STI among displaced youth in the Caribbean and Africa; and building and sustaining diverse, inclusive and equitable educational and organizational culture and practices. *Her* research and teaching engages critical theory and methodology in ways that deepen understanding of how intersections of history, culture, race, class, gender, sexuality and epistemology shape social identities, reproduce disparities and sustains racialized inclusions, exclusions, and inequalities for marginalized groups.

Professor Richard Francoeur has experience as a medical social worker serving older veterans, their spouses, and families across a wide variety of health care settings. His cutting-edge research, related methodological development, and published articles focus on critical, yet hidden, presentations of health, mental health, and biopsychosocial conditions in men, older adults, and underserved populations, including 1) late-life depression in co-occurring medical conditions or physical symptoms and 2) psychosocial-spiritual issues in palliative care. Currently, he is investigating multi-morbidity from cardio/cerebrovascular disease, diabetes, heart failure, and related conditions. He received a Hartford Geriatric Social Work Faculty Scholar Award, an Open Society Social Work Leader Award (Project on Death in America), and an NIMH R03 grant on late-life depression.

Associate Professor Patricia A. Joyce's qualitative research interests include: trauma, incest, domestic violence, mental illness, non-offending mothers of sexually abused children, cultural competence and PTSD, secondary trauma and ethnicity, psychoanalytic theory, and social work pedagogy. Dr. Joyce was an Adelphi University Teaching Fellow for the 2019-2020 academic year; her teaching as scholarship project focused on using students' voices to inform creating a trauma-informed and responsive online classroom. Dr. Joyce was the primary investigator on a grant from Weill Cornell Medical College and New York Hospital Queens to train primary care residents in assessing for trauma exposure in immigrant women who present with medically unexplained symptoms in their primary care clinic. She is the Faculty Director at Adelphi for New York State Office of Mental Health-Deans' Consortium: Evidence-Based Practice in Mental Health in Social Work Education.

Associate Professor Daniel B. Kaplan is a gerontological clinical social worker with expertise in mental and neurological disorders, aging, and social work practice and supervision. He is the Faculty Director of the Center for Nonprofit Leadership at Adelphi University School of Social Work. His research includes intervention studies and workforce development initiatives to optimize services, clinical interventions and supportive environments for older adults with mental and neurological disorders living in the community, as well as studies of programs to enhance social work supervision. He is Director and Principal Investigator for the Social Work Practice Fellows program and the former National Director of Social Services for the Alzheimer's Foundation of America. Dr. Kaplan holds clinical social work licensure in New York and Massachusetts, as well as an NASW certification in advanced gerontological clinical social work. He earned his doctorate at Columbia University and then held a postdoctoral research fellowship in the NIMH Geriatric Mental Health Services Research program at the Weill Cornell Institute for Geriatric Psychiatry.

Associate Professor Tae-Kuen Kim received his Ph.D. at the School of Social Policy & Practice, University of Pennsylvania. His research interests include economic mobility among low income families, comparative welfare states, political ramification of social welfare policy, and social work administration. He is teaching MSW research methodology courses and doctoral basic statistics course. Currently, Dr. Kim conducts a study investigating the impact of government welfare provision on the citizens' commitment and trust toward their states. He also studies the relationship between economic globalization and welfare spending among OECD countries, and the effect of welfare spending on national health outcome.

Professor Stavroula Kyriakakis's area of research is gender based violence and the study of how women exercise agency in creating conditions of safety and well-being. Before pursuing her Ph.D., Dr. Kyriakakis, was the director of a domestic violence program in New York City. This inspired her central research interest in intimate partner violence in immigrant communities, with special emphasis on the experiences and social service needs of Latinas. Dr. Kyriakakis's last study examined the experiences of intimate partner violence of Mexican immigrant women. Her current study involves the experiences and service needs of women engaged in transactional sex work in the Caribbean, an intensely marginalized community of women at heightened risk for exposure to violence and abuse. Dr. Kyriakakis has experience conducting qualitative research across cultural, national and linguistic boundaries with communities at high risk for exposure to violence, as well as social and legal retribution.

Assistant Professor Chrisann Newransky's research focuses on reducing health disparities by improving health and mental health service systems for vulnerable populations. She engages in community-based evaluation research, and in the last few years has completed evaluation studies of a crisis and transitional intervention for people with serious mental illness and the integration of primary care and wellness services into the community mental health setting. Dr. Newransky is also interested in vaccine-preventable diseases, cancer prevention, and socio-economic programs for marginalized women.

Professor and Director of the Doctoral Program, Elizabeth Palley is trained as a lawyer, a social worker and a policy analyst. Her academic and research interests include family policy, child welfare, disability policy, the connection between social science theory and research as well as the overlap between social work and the law. She has researched and written extensively about U.S. special education and child care policy. In 2014, she co-authored *In Our hands: The Struggle for US Child Care Policy* with NYU Press and in 2020, she co-authored, *Social Policy in a Changing World* with Sage Press. She is currently researching the impact of labor policies on early childhood education, particularly for home based providers.

Professor Subadra Panchanadeswaran's area of practice and research is primarily in the area of gender-based violence and she examines the intersections of violence, HIV/AIDS and substance use disorders both internationally and here in the U.S. Dr. Panchanadeswaran's research has examined decision-making patterns among abused women, impact of domestic violence on women's health and the role of social support and spirituality in the lives of female survivors of intimate partner violence. Professor Panchanadeswaran's international research centers around the experiences of female sex workers. Professor Panchanadeswaran is the recipient of a Fulbright-Nehru Academic and Professional Excellence in Research award. Her recent research projects have documented the impact of mobile phone technology on sex workers' lives in India, experiences of older female sex workers, and NGOs' experiences of navigating the HIV/AIDS epidemic and the COVID pandemic in the light of drastic funding changes in India. She is currently exploring help-seeking behaviors and responses of mainstream organizations to immigrant South Asian women's efforts to seek help to address intimate partner violence. Professor Panchanadeswaran is a mixed method researcher and she teaches Human Behavior Theory courses, Social Work Research Methods for foundation and advanced year students, as well as the doctoral course in Quantitative Research Methods.

Clinical Associate Professor Marilyn Paul has been in direct clinical practice for over twenty-five years with a specialty in perinatal social work. In her early years as a social worker, she worked in hospital inpatient and outpatient settings, later entered private practice, and currently maintains a private practice on the Upper West Side of Manhattan. She teaches human behavior and social work practice in the MSW program and advises students. Her research, having evolved from her clinical practice and teaching, involves families conceived with assisted reproductive technology, maximizing perinatal service delivery in marginalized communities, and innovative teaching, including incorporating social action into social work practice, intensive study abroad immersion, technology and pedagogy, and community collaboration.

Clinical Associate Professor Joanne Quinn-Beers' areas of interest are exploring the impact of social policy on women's lives, particularly as caretakers. She has done qualitative research on the experiences of mothers adopting through the foster care system. She has worked with oncology patients and their families in a hospital setting, often focusing on the impact of illness on family members. She has also worked with families who are experiencing post-adoption concerns. She teaches across the curriculum including Practice at both the BSW and MSW levels, as well as Human Behavior and Social Welfare Policy in the MSW Program. She has taught a number of electives including Social Work and Social Change, Case Management, Social Services to Children, and Writing for the Helping Professions in the BSW program.

Associate Professor Laura Quiros's research and scholarly interests include: the social construction of racial and ethnic identity, social justice in higher education, and trauma-informed leadership and practice. The common thread in her service, teaching and scholarship is elevating complexity and furthering the social work mission of social justice.
 Laura works to find spaces in and outside of the classroom to advance inclusion within organizations, which to me means taking a look at the ways that "whiteness" is maintained in organizational cultures and supporting organizations to become more racially literate.
She coaches, trains and facilitates dialogues with executive level staff across higher education, corporate and non-profits to dig deep and sincerely connect to diversity and inclusion. Some of this work involves gently pushing the boundaries of overcoming the resistance to talking candidly about whiteness and unpacking diversity and inclusion work. Much of this has been accomplished through relationship building. The intersection for her is clear, as a woman of color from a very multicultural background, she could only survive through relationship building. Negotiating her identity required her to create safe enough and brave spaces in order to survive and thrive. Her practice is one of liberation, love and generosity. Professor Quiros' current research centers on Trauma Informed Social Justice Leadership.

Professor Geoffrey Ream's researches lesbian, gay, bisexual, transgender, queer, questioning, and other sexual and gender minority (LGBTQ+) youths' issues with religion, suicidality, mental health, homelessness, and development through emerging adulthood. As a specialist in quantitative methods, he has also partnered with undergraduate students, graduate students, postdoctoral fellows, practicing social workers, and established researchers on a wide variety of topics including psychotherapy outcomes, statistics pedagogy, problem video game play, intimate partner violence, HIV risk, marijuana use practices, drug treatment for schizophrenia, and racial disparities in marijuana-related arrests. His 2019 study on National Violent Death Reporting System (NVDRS) data about LGBTQ+ youth suicide had almost 200 Twitter interactions as of June 2021 and was featured in a Reuters Health article.

Associate Professor Carol Sussal's areas of interest are in family and couple therapy; practice with gays, lesbians, bisexuals and transgendered persons; and spirituality and social work practice. Her publications have been on the subjects of object relations family therapy, object relations couples therapy with lesbians and Kleinian analysis of homophobia. Dr. Sussal also teaches postdoctoral courses in marriage and couple therapy at the Derner Institute where she is a Scholar-in-Residence and a Master Clinician. She has done research on the use of entheogens or sacred teaching plants in the Amazon rainforest of Brazil.

Associate Professor Rani Varghese has been trained in the fields of Clinical Social Work, Social Justice Education, and Women, Gender & Sexuality Studies. She brings an interdisciplinary approach to her teaching, practice, and research. Her scholarship links social justice concepts and theories in social work education and examines the impact of intergroup dialogue, a model of dialogue that brings together groups of people who represent different social identities to converse about "hot topics" related to race, gender, class, etc. She has also co-written about trauma informed social justice practice and supervision. Dr. Varghese is a contributor to the Teachings for Diversity & Social Justice and the Readings for Diversity & Social Justice textbooks which are widely used across disciplines in K-12 schools, colleges, universities and other organizations throughout the country. A growing interest of hers is having conversations with children about issues of oppression. Here is a piece she co-authored in Medium as she is invested in making scholarship accessible. https://medium.com/@maharani428/an-open-letter-regarding-the-cnn-sesame-street-town-hall-onracism-2d5602716fc0

Associate Professor Bradley Zodikoff's scholarship focuses on the service utilization and help-seeking patterns of older adults and their family caregivers across aging, health, and mental health service systems. His research examines service use and access issues involving specific constituencies of older adults at-risk such as older spousal caregiver-care recipient couples coping with severe chronic illness, older adults with mental illnesses and their family caregivers, and gay and lesbian older adults. Dr. Zodikoff's scholarship has also centered on articulating the trends in service delivery that impact the practice of social work in the intersecting domains of health, mental health and aging, with particular attention to the implications of these trends for social work education and knowledge development. Dr. Zodikoff is a recipient of the Hartford Doctoral Fellowship Award and the Hartford Geriatric Social Work Faculty Scholars Award.

Assistant Professor Sara Terrana's current research has a dual focus, first on nonprofit human-service organizations (NPOs) located in neighborhoods of concentrated disadvantage, and second, a new project focused on the pedagogy efforts of teaching social work students about social action and social justice. Her research on the NPO sector is of particular importance given the pronounced role that nonprofit community-based organizations have in urban, low-income, communities of color in an era of increased privatization and devolution and the resulting macro social policy changes that have made such communities highly dependent on such organizations to provide social safety-net services. Dr. Terrana specializes in qualitative methodologies and has advanced computer-assisted qualitative data analysis software (CAQDAS) training. She is currently a principal investigator for a mixed-method University funded project evaluating the impacts of Social Action Initiatives 2021. In addition, Dr. Terrana has several publications in peer-reviewed journals, including *Human Service Organizations: Management, Leadership & Governance*. She has presented her work at both national and international conferences across academic disciplines.

Associate Professor Beth Counselman-Carpenter (she/her/hers)'s research, scholarship and teaching focuses on post-traumatic growth and decreasing barriers to service provision, particularly with the LGBTQIA+ community and the use of technology in teaching and learning. Her current project is a mixed methods study exploring the preferences of breast

cancer survivors related to physician driven referrals for therapy. Dr. C. specializes in qualitative and mixed methods research. Other recent projects have included examining the practices of self-care and mentoring in retention of faculty with marginalized identities and analyzing secondary data to understand factors of post-traumatic growth in transgender and nonbinary individuals who have completed transition. Her co-edited book: *Working with Grief, & Traumatic Loss: Theory, Practice, Personal Reflection & Self-care for Clinicians* was published by Cognella Publishing in November 2019 and her next book: *Decolonizing Human Behavior: An Anti-Oppressive Reader* will be released in October 2021. She has published work in the Journal of Gay and Lesbian Mental Health, the Journal of Social Work Education, the Journal of Social Work & Human Rights and the Journal of Interpersonal Violence.

Assistant Professor Yiqi Zhu's scholarship aims to improve the well-being of individuals and families in response to rapid globalization, urbanization, and modernization. Yiqi's primary research goal is to develop and implement community-based interventions to improve the health outcomes of children from vulnerable families, especially the programs and strategies to form healthy dietary behaviors and to prevent dual burden of malnutrition. Nationally, Yiqi focuses on children from underrepresented groups living with kinship caregivers. Globally, Yiqi focuses on ethnic minorities and children from migrant worker families; Yiqi investigates the impact of global migration on the well-being of children living in impoverished mountain regions in South Asia. Yiqi has worked on research and consultant projects in India, China, and Afghanistan. Yiqi Zhu's teaching experience includes courses in statistics, international social and economic policies and programs, and evaluation

Ph.D. COURSE DESCRIPTIONS

SWK 810 – Epistemology and Social Work Knowledge

This course is designed to provide new doctoral students with an introduction to the epistemological foundations of knowledge and the paradigmatic approaches to knowing and learning. It is framed to place in a larger philosophical context the intellectual traditions in social work and its conceptions of knowing and doing.   The course is also aimed at encouraging students to think critically about the nature of social work, its knowledge base, its means of developing knowledge, its theories and practices and its belief systems and value bases.   Social work practice is shaped by knowledge as well as its core values. Integral to social work epistemology is the critical scrutiny of the interactions between knowledge and values. How do values shape the knowledge? How does knowledge shape values?

SWK 811 - Social Work Education: Issues and Processes

The social work education system in the United States is examined from a descriptive and analytic perspective. The historical development of the current structure, program and policies is traced and cross national systems are compared. Important policy issues are identified and the interaction between professional education and practice are examined. Education policies as promulgated by the Council on Social Work Education via accreditation standards are studied. Attention is also directed to issues of curriculum design and development, and the practice of teaching, including organizing and presenting materials, motivating students, and assessing learning.

SWK 842 – Human Behavior Theory: Selected Theoretical Frameworks for Social Work Practice

This course addresses and critically examines some current major theories for social work practice. Students take this course simultaneously in the first semester of the first year of the doctoral program with SWK 810, Epistemology and Social Work Knowledge. This course provides students with knowledge that will be further developed and refined in the courses on individuals, families and groups; it provides a transition between the epistemology course, which addresses paradigmatic approaches to knowing and learning and the individual, family.

SWK 843 – Social Work Practice with Individuals: Theory and Research

This course is designed to help students learn to conceptualize models of practice with individuals, and to do research about these models. To this end, psychodynamic, cognitive-behavioral, and narrative models are presented as examples of the broad array of models available today. There is a major emphasis on each model's research base, and the role of research in the further development of each model.   Students will learn to conceptualize and compare these models, and think critically about them, particularly with regard to the methods, findings, quantity, and quality of relevant research about both process and outcome. Moreover, each student will make a presentation about proposed research to fill a gap in the extant research base for one of these models, thus learning to develop new knowledge for practice. As well as

helping students acquire knowledge about the conceptual and empirical bases for practice models, the course will help students to acquire knowledge about the evolution over time and integration of various models, and the relevance of various models for diverse social work clients.

SWK 844 - Program Development and Evaluation

This course addresses the conceptual and theoretical bases of program planning and evaluation and the links between the two endeavors. It explores approaches to program planning through the examination and design of models, concepts and techniques that facilitate needs assessment, setting goals and objectives, engaging stakeholders, and establishing target groups and timelines in the implementation process. Key theoretical concepts in evaluation, ethical and analytic approaches utilized in human services evaluation and evaluation techniques are critically explored to ensure comprehensive understanding and skill development.

SWK 845 – Cross-national Perspectives on Social Provision

The subject of this course is the past, present, and future of welfare states. The emphasis is on welfare states in wealthy, industrialized countries that are comparable to the United States, but social provision in developing countries is also considered. The study of welfare states is through the lens of history, economics, political science, philosophy and feminist theory. The relationship between planning and politics in welfare state development is still another subject. Welfare state typologies are presented and critically examined. The roles of family, market, and state are examined comparatively as are the varying combinations of employment and income support

SWK 850 - Comparative Approaches to Social Work Research: Quantitative Methods

This course is designed to provide students with knowledge about the scientific method, theory construction, and the relationship of theory to research. Students will learn the steps involved in designing a research study, including problem formulation, development of a conceptual framework and logic model, hypothesis development, research design, instrument construction, measurement issues, sampling procedures, and ethical issues involved in research. Various types of experimental, quasi-experimental, and non-experimental designs will be presented. Specific methods such as survey research, observational studies, analysis of available data, developmental and evaluation research will be covered. The course will deal with issues related to the feasibility and practicality of implementing and conducting a proposed study. Students will learn how to write a research proposal. By the end of the course, students will know how to design, conduct and document a sound scientific research study that is both ethical and feasible.

SWK 851 – Foundations to Data Analysis: Univariate and Bivariate Statistics

This course will deepen understanding of theory and rationale behind the use of univariate and bivariate statistics. We will review various bivariate statistical tests in greater depth (t-test, one-way ANOVA, chi-square, correlation); and be introduced to a few new tests (two-way ANOVA, simple regression, other non-parametric tests). Additionally we will cover statistical power. The principal focus of the course is on the development of conceptual tools needed for advanced work in research design, data analysis, and interpretation of data. The course revolves around the systematic establishment of scientifically meaningful comparisons and relationships. Basic principles are illustrated through application and exercises. Students will demonstrate

understanding of the material by performing computer applications of the statistical tests on a data base and presenting the findings.

SWK 853: Advance Research Topics: Qualitative Data Analysis
In this course, students will learn the fundamentals of qualitative data analysis. This course will explore various data analysis methods, and give students hands-on experience to learn how to design a data analysis plan, create codebooks, code transcripts, and report findings. Students will also examine their role in the data analysis process and methods for enhancing trustworthiness.

SWK 854 – Proposal Development Seminar

The purpose of this course is to facilitate student identification, exploration and development of a topic of interest appropriate for a dissertation. This seminar will focus on the identification and application of scholarship generating skills to support the conceptualization, development, and writing of the dissertation proposal.

SWK 856 – Multivariate Analyses
This course introduces learners to multiple regression, which is one type of multivariate statistics. Multiple regression is a general model with extensive applications, and a thorough understanding of regression is necessary to understand current social science literature. In this course, students will study theoretical and technical aspects of regression. Assumptions of the model and diagnostics to assess these assumptions are studied. The use of categorical and continuous independent variables as well as interactions is explored. The use of limited dependent variables is considered, and missing data and statistical power issues are included. Experience in working with multiple regression is gained through computer exercises with a data set.

SWK 857 – United States Social Work in Historical and Cross-national Perspective
This course is designed to enhance students' understanding of the development of professional social work reflected the profession's origins and evolution over time. Appreciation of the social, political, economic and cultural factors which have contributed to shaping and defining social work practice in the United States today will enable students who are future leaders in the profession to recognize and value social work's unique role in, and contributions to, social development and social reform. The course also includes cross-national study of the profession as a means of heightening students' understanding of how the practice of social work is socially constructed through temporal and cultural lenses.

SWK 860 – Social Work and Social Science
This course is designed to critically examine the linkages between social science theories and social work. The course will explore how sociological, political science and economic theories can be helpful in "explaining" social phenomena, and how they can inform social welfare, social work research and practice. The ways in which each discipline frames social problems, and, hence, potential solutions to these problems will be explored.   In addition, students will be encouraged to explore the utility of existing theories for creating new knowledge.

SWK 878 – **Theories and Research on Organizations and Leadership**
This course provides social work doctoral students with organizational design and executive leadership models that address human services. Students learn how to critically evaluate and understand the applicability of the models to organizations where social work is practiced. This understanding is needed to: a) make decisions about adopting models best suited to professional and ethical obligations, b) understand implications of different leadership models, and c) build knowledge. The models are drawn from contemporary and classical literature and describe responses of organizations and their leaders to change. The models are examined for their value and applicability to the varied missions of human service organizations, their ethical bases, and their ability to hold up to empirical scrutiny.

SWK 876 – Social Work with Small Systems: Theory and Research
This course is designed to enhance students' knowledge and skills in developing a theory informed research agenda of small relational systems, specifically families and groups. It seeks to broaden and deepen students' familiarity with the theoretical and empirical bases of social work with families and groups, and augment their ability to conceptualize and conduct researchable questions informed by these theories and approaches. The course includes three parts. The first part of the course is an introduction to the role of theories and research in considering social work in relation to small systems, as well as the integration of families and groups in theories, models and research strategies. The second part focuses on a review of major family and group theories and models, identifying and comparing underlying themes and assumptions, critiquing studies informed by these theories and models, and discussing the development of potential research agenda guided by them. The third part of the course is dedicated to understanding specific challenges in studying small systems, relationships and interactions and gaining greater familiarity with methodological strategies for addressing these challenges.

SWK 882 - Comparative Approaches to Social Work Research: Qualitative Methods
This course is designed to help students develop knowledge, skills and comfort with qualitative research methods, as an additional alternative in social work research. Ontological, epistemological, axiological, rhetorical and methodological aspects of the qualitative approach to research will be presented as complementary rather than contradictory and competitive to quantitative methods. The substantive focus is on applications especially relevant to social work and social welfare.

SWK 899 - Independent Study is possible when the student can enlist an interested faculty member to serve as the independent study instructor and has the approval of the Director of the Ph.D. Program. The student must plan a course of study in an area generally unavailable within the regular course offerings. If the student has taken a doctoral course as an elective while in the Adelphi University M.S.W. program, he or she will need to take a different course in the Ph.D. program, either a graduate course offered at Adelphi University or another University or

Independent Study. For Independent Study, appropriate forms must be completed and submitted to the doctoral office. The final grade for Independent Study is given by the instructor.

DISSERTATION PROPOSAL MODEL

Appendix C

The dissertation proposal should be a concise and explicit statement outlining a program of original research that will contribute to the knowledge base of social work. The following outline will help you organize your material into 20 pages or fewer. Double-space your narrative, use 1-inch margins, 12-point typeface, preferably Arial or Times New Roman, and the latest American Psychological Association (APA) publication style and use a cover sheet, table of contents, abstract, appendices and list of references. Write clearly, use consistent language (e.g. always use same name for concepts/variables), spell out decisions and their rationale, and build your arguments logically and systematically. Use reliable sources, peer-reviewed when available. Be accurate and specific. Always explain to the reader what to anticipate (e.g. in the beginning of each section introduce the reader to the content of the section).

I.   Focus of Inquiry

This section introduces the question to be studied, makes the case for its importance to the field of social work (i.e. why is it worth addressing), and contextualizes it within available knowledge. It also briefly outlines the approach you will use and discusses how your study is different from or better than what has been done in the past and/or expands current understanding. It identifies specific anticipated contributions to the social work knowledge base. This section must address the following:

- The research question that you intend to answer through the proposed research. It is important to start from this question so that readers will know why you are describing the knowledge status in your chosen topic area;
- An explanation of how the focus of your inquiry fits within the broader picture of relevant professional concerns and which gaps in the current knowledge it addresses (you will have an opportunity to elaborate on this in the review of the literature);
- The rationale for the proposed study—why this is the best strategy for answering the research question;
- The anticipated contribution of your inquiry to social work research, practice and policy.

II.   Critical review of the literature

In this section you review and critically analyze the relevant theoretical and empirical literature. The main focus in this section is on explaining and supporting (a) why the research question/hypothesis was conceptualized in the way you have proposed; and (b) why the particular strategy for answering the research question was selected. To address these two questions, you need to present a comprehensive review of 1) theoretical/conceptual frameworks that inform your study; 2) a critical review of previous research relative to your focus of inquiry.

In the first part of this section, the reader should be informed about the major concepts and assumptions of the theory or theories and their relevance to the proposed project.

This discussion should lead to a clear conceptualization of the research question (and where appropriate, hypothesis/ses).

Following the conceptualization, the next part of this section should present a comprehensive review of empirical knowledge relative to the research question/s or hypothesis/es, i.e., a summary of aspects of the question that have been studied and of the research findings. This section needs to be organized by relevant topics and should not become a "laundry list" of studies.

The review of the literature provides the framework for understanding: (1) in a quantitative study, the hypothesized relationship[s] between your variables of interest; (2) in a qualitative study, the formulation of the research question and identification of relevant constructs; (3) in an intervention study, the intervention and the outcomes to be measured, including a logic model showing the relationships between program inputs (population, resources), throughputs (intervention model) and outputs (intended results).

III. Procedure

In this section you will describe and support your proposed method to answer the research question or to test your hypothesis. You must demonstrate your understanding of the relationship between the research question and the method of study. The information needs to be specific and include a rationale for all decisions. This section should include the following sections:

A. Research variables/constructs

If you are proposing a hypothesis-driven study, you must identify the independent, dependent, and control/intervening variables (if any), present their theoretical and operational definitions and identify the relationships among them. If you will be using qualitative methods, you must describe the relevant constructs that inform your research.

B. Study design and method

In this section, you will describe and justify the method you are proposing to use to answer the research question or test your hypothesis. Is this a quantitative, qualitative, or mixed methods study? Why is it the most appropriate method for answering your research question or testing your hypothesis?

Once you have established the rationale for the study method, describe the research design. If you are proposing a quantitative study, will you be using an experimental, quasi-experimental, or non-experimental design? A single-case design? A time-series design? A survey? An analysis of secondary data? Will the study be longitudinal or cross-sectional? If you are conducting a qualitative study, will it be a phenomenological study? Narrative study? Grounded theory study? Case study? Discourse analysis? Ethnographic study? Feminist inquiry? You must argue convincingly why the design you have selected is the most appropriate one for answering your

research question or testing your hypothesis, conclusively demonstrating your understanding of the application of the method.

A.   Population and sample

Define the group or population about which conclusions can be drawn from the proposed study. Discuss the size of the sample you will draw from this population and how you determined how large this sample must be to answer your research question or test your hypothesis. Explain thoroughly and justify your strategies for determining sample size (e.g., power analysis in a quantitative study; saturation for a qualitative study) and for recruiting study participants. Discuss threats to the generalizability of study findings posed by your method of sample selection. For longitudinal studies (e.g. collecting data on participants over time or at treatment follow-up) discuss your planned strategies to address drop-out and attrition.

B. Data collection

Discuss the methods you will be using for collecting the data required to answer the research question or to test the study's hypothesis. There are two aspects to this discussion. One is the format for data collection: when, where and from whom will data be collected? The other is how: what method will be used for collecting data? Standardized instruments? Survey questionnaires? Structured or unstructured, in-person interviews? Observations? Secondary data sources such as school records or public documents? This section must address both aspects of data collection in detail. Be absolutely clear in your discussion as to when you will collect your data, from whom, by whom and where. For example, if you will be collecting data when youth enter a detention center, how will you insure that data are collected at the same point for each youth, (e.g., not during the first 12 hours for some and the first 24 hours for others). If you are conducting interviews to collect data for your study, specify who the interviewers will be and how they will be trained. In any type of study, you must think through the logistics of data collection, identify all possible obstacles to your established procedures and develop a strategy to address them.

If you will be using standardized instruments to collect data, you must describe fully their development and psychometrics as established in previous studies, discuss their applicability to your study population (reading level, cultural responsiveness, age range, availability in languages other than English, etc.) and identify the procedures for acquiring necessary copyright permissions.

If you are creating your own instrument or adapting a pre-existing one, you must mount a convincing argument for the necessity of doing so. Further, you must describe how you will go about establishing the new instrument's reliability and validity. If you are conducting a survey, you must pilot test the questionnaire on a few individuals who would otherwise qualify for your study to ensure that it does what you want it to do. Are the questions clear and understandable to the population you will be surveying? Do the questions generate the data required? If this is a qualitative study, what data sources will you use? Will you analyze existing sources such as historical documents or case records, or will you be conducting intensive interviews or observing

individuals or groups? You must discuss issues of credibility, transferability, dependability and confirmability.

Specify how you will record the data you elicit or observe. If you will be using electronic technology such as a tape recorder or video camera to record data, discuss in detail how this process will be managed.

a. Data management and analysis

This is the section in which you discuss how you will handle the data you have collected. In any research study, the method of analyzing the data must be consistent with study purpose and design. In quantitative research, the assumptions of the statistical methods used must fit the level of data you have collected. If you are proposing a qualitative study, you must also describe how you will analyze the data you collect (e.g., content analysis). Will you use a computer program such as N5 or Atlas to help manage and analyze your data, or will you do this manually? Will study participants be involved in the interpretive process? Why or why not? If they are, how? Either way, you must describe in detail how you will carry out your analysis, using a recognized and accepted procedure.

b. Study limitations

All research has limitations. It is important to be able to recognize such limitations and address them in your proposal. Reflexively identify issues that may limit or otherwise impact your proposed research: conceptualization of the inquiry, the design and/or the implementation of the study (e.g., interviewing cross gender or ethnicity, survey interviewers who are not from the subjects' community). Discuss how you have attempted to control for or compensate for these to the extent possible.

c. Ethical considerations

Discuss human subjects concerns in the study you have proposed and how will you address them. Your discussion should include the following issues:

- Voluntary participation and right to withdraw without negative outcomes. Explain procedures developed to insure informed consent that follows federal guidelines regarding protection of human subjects. Attach a copy of your Informed Consent Statement as an Appendix.
- Insuring participants' privacy and confidentiality rights. If you are collecting data in written form, you must make arrangements to keep the completed instruments under lock and key. You must also discuss how you will maintain confidentiality if the data will be computerized. Who will be doing the data entry, conducting the analysis or otherwise have access to the data? If you are taping intensive interviews for a qualitative study, will you be doing the transcriptions, or will it be someone else? In the latter case, you must inform your participants of that fact as well as have the transcriber sign a pledge of confidentiality.
- Harm prevention. Discuss potential risks to participants and measures to address them (e.g., debriefing and/or referral to address interview-induced stress).

- Cultural sensitivity. How will you insure that your study is free of cultural and gender biases?
- Plans for sharing of findings with interested participants.

Please specify the organizations/institutions, including Adelphi University,that will be reviewing your proposed research for human subjects' protections. If you are drawing your sample from an organizational setting such as a school, a hospital population or an agency-based clientele, you will have to comply with that organization's human subjects review procedures as well as Adelphi's.

IV. Work Plan and Resources Required

Attach a detailed work plan or timetable for the dissertation process you are proposing. Also, discuss any resources you will need to complete the study. Money for travel to data collection sites, reimbursement of participants for their time and effort, postage for mailed surveys, copyright fees for use of standardized instruments and consultation fees for a statistical consultant are some of the expenses often encountered in conducting dissertation research. Specify as nearly as you can the cost of your study and identify the resources available to you to help defray these costs. If you plan to apply for a dissertation grant, briefly discuss the application procedure.

V. Literature Cited

Please attach a list of the sources, including electronic resources (use the library guidance for evaluating web-based information) you have referenced in your proposal, using APA citation style

VI. Appendices

This section includes all documents that you intend to use in your research such as flyers or newspaper ads for recruitment of participants, participant consent forms, agency letters of support for your project and copies of all the instruments that you will be using to collect data.

DISSERTATION OUTLINE:

Dissertation:

1. Introduction (The focus of inquiry from the proposal.)
2. Theoretical background and literature review
3. Methods
4. Finds
5. Discussion and Implication
    A. Policy
    B. Practice (include professional education, if applicable)
    C. Research:
    D. Theory

DISSERTATION RESEARCH PROPOSAL EVALUATION FORM

**ADELPHI UNIVERSITY
SCHOOL OF SOCIAL WORK
PH.D. PROGRAM**

DISSERTATION RESEARCH PROPOSAL EVALUATION FORM

Date: _____

Name of Student: _____

Title of Research Proposal: _____

_____

_____

_____

_____   Approved as is.

_____   Approved contingent upon minor revisions to be submitted within two weeks.

_____   Approved contingent upon substantial revisions to be submitted within one month.

       (Revisions submitted and accepted _____)

                                       initials / date

_____   Disapproved: proposal needs extensive revision.

_____   Disapproved: proposed research needs to be thoroughly reconceptualized.

Comments and Recommendations: _____

_____

_____

_____

_____

_____

Signatures of Dissertation Research Proposal Evaluation Committee

1. _____

2. _____

3. _____

E FORM

**ADELPHI UNIVERSITY
SCHOOL OF SOCIAL WORK
Ph.D. PROGRAM**

DISSERTATION DEFENSE FORM

Student's Name:_____Defense Date: _____

Dissertation Title: _____

_____

_____

Committee Membership:

Chair: 1._____

                (Signature)

    2._____

                (Signature)

    3._____

                (Signature)

External Reader: 4._____

                (Signature)

Decision:

Pass: Level one: _____ *Level two : _____ *Level three:____

    Fail: Provisional fail:__Final fail:_____

                Remarks:

_____

_____

*Note: Levels two and three pass are conditional passes that require students to revise the dissertation. Level two requires minor revisions, while level three requires extensive revisions. In any case, the committee will need to establish a date that the final completion of the dissertation is due and note such. Please inform the student that a failure to meet the deadline may result in a fail grade. In order to be approved for graduation in January, an approved revised dissertation will have to be submitted by **January 10**. The deadline for May graduation is April 1 *and August graduation is August 1.*

        Date Revised Dissertation Submitted: _____

Approved: _____ (advisor signature)

        Reviewed and checked by Doctoral Office: _____

        Date Ph.D. degree to be awarded: _____

CODE OF ETHICS OF THE NATIONAL ASSOCIATION OF SOCIAL WORKERS

Appendix F

PREAMBLE

The primary mission of the social work profession is to enhance human well-being 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 well-being in a social context and the well-being 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 well-being 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

1. Social Workers' Ethical Responsibilities to Clients

1.01 Commitment to Clients

Social workers' primary responsibility is to promote the well-being 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 Self-Determination

Social workers respect and promote the right of clients to self-determination 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 third-party 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, age, marital status, political belief, religion, 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 third-party 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, age, marital status, political belief, religion, 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 well-being 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 well-being 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 well-being.

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, age, marital status, political belief, religion, 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 con-tribute 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' well-being, 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

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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, age, marital status, political belief, religion, or mental or physical disability.

CONTINUING EDUCATION UNITS [CEU]

<div align="right">**Appendix G**</div>

Effective January 1, 2015, New York State Education Law requires each licensed master social worker (LMSW) and licensed clinical social worker (LCSW) to complete 36 hours of acceptable formal continuing education during each three-year registration period. A minimum of 50 minutes equals one continuing education hour of credit. However, some courses may be given in continuing education units. One continuing education unit (CEU) equals 10 continuing education hours. From:http://www.op.nysed.gov/prof/sw/swcefaq.htm

Adelphi University School of Social Work is an approved provider of continuing education for licensed social workers #0032.   According to NYSED, in order to award social work clock hours, students must complete all requirements [including class attendance] to earn a certificate for contact hours. Students may not be awarded partial credit for a program, if a student does not complete all the requirements of that course.

Effective Fall 2015, the following doctoral-level courses have been approved for CEU credits by the New York State Education Department's [NYSED] State Board for Social Work:

SWK 878 Organizations and Leadership in the Human Services (Levin) 30 contact hours [3 CEU]
SWK 850 Comparative Approaches to Social Work Research: Quantitative Methods Rozario[3 CEU] ** (Effective Spring 2016)
SWK 882 Comparative Approaches to Social Work Research: Qualitative Methods (Berger) 30.0 contact hours [3 CEU]
SWK 845 The Policy Context and the Cross National Perspectives on Social Provision (Palley) 30.0 contact hours [3 CEU]
SWK 810 Epistemology and Social Work Knowledge (Quiros) 30.0 contact hours [3 CEU]
SWK 844Program Development and Evaluation (Francoeur) 30 contact hours [3 CEU]