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THE PH.D. IN SOCIAL WORK AND SOCIAL RESEARCH

THE SCHOOL OF SOCIAL WORK AND ITS MISSION

The School of Social Work (SSW) is committed to the enhancement of the individual and society. We are dedicated to social change and to the attainment of social justice for all people, the eradication of poverty, the empowerment of those who are oppressed, the rights of all individuals and groups to determine their own destinies, and the opportunity to live in cooperation. While the School maintains a special commitment to these values, it recognizes the need for joining with others in society who are working toward this same purpose.

The School has an educational program involving several structural components: the Masters in Social work (MSW) Program, the Distance Education MSW Option, the Doctorate in Social Work and Social Research (Ph.D.) Program, the undergraduate Child and Family Studies Program, the undergraduate BASW Program, the Regional Research Institute for Human Services (RRI), and the Center for the Improvement of Services to Children and Families (formerly the “Child Welfare Partnership.”). The MSW Program prepares professionals with advanced, analytic skills necessary for self-directed and accountable social work practice. The Ph.D. Program provides advanced education to prepare professionals for teaching, research, and leadership roles in the human and social services. Both Child and Family Studies (CFS) and Social Work (BASW) prepare students for professional service careers and/or for graduate education. The RRI improves human services through applied social research by assessing social problems and service needs, as well as developing and evaluating practice and policy innovations. The Center for the Improvement of Services to Children and Families provides education and research related to the State Office for Services to Children and Families and national child welfare issues.

Consistent with the goals of Portland State University and the Oregon State System of Higher Education, the three major functions of the School are teaching, research, and community service. Teaching is directed toward preparing effective and creative social workers who are ethical and culturally competent. Social workers learn to serve individuals and families directly, evaluate practice, develop and administer programs, organize neighborhoods and communities, analyze social policies, conduct research, and initiate necessary reforms of existing practice, programs, and policies. Research and scholarship focus on understanding, preventing, and ameliorating social problems. Community service involves collaborative efforts with individuals and organizations to develop innovations in social welfare services and policies.

The School’s values, structure, and function are expressed by placing priority on the interaction among vulnerable individuals, their families, and environmental systems such as the work place, organizations, neighborhoods and communities. These vulnerable individuals include: children with physical and emotional disabilities, children in need of care and protection, youthful offenders, adults with long term psychiatric disabilities, individuals who are chemically dependent, persons with AIDS, persons who are homeless, older people
with physical, psychological and cognitive problems, and other oppressed and economically disadvantaged groups. The School focuses its research, teaching, and community service efforts on empowering vulnerable populations, changing environmental systems, and intervening in the conditions that contribute to social problems.

The School of Social Work at Portland State University offers the only MSW program in Oregon. It was established at Portland State University in 1961 by a resolution of the Oregon Legislature.

Ph.D. PROGRAM DESCRIPTION AND OBJECTIVES

The Ph.D. degree in Social Work and Social Research is offered by the School of Social Work. The Ph.D. in Social Work and Social Research at the School of Social Work was approved in 1988 and funded in December, 1991. The first class was admitted in 1992. The course of study prepares students to understand critical social welfare problems, to conduct research and policy analysis related to the solution of these problems, to take responsibility for program development and administration in the human services, and to assume leadership positions in the social welfare community.

All PSU Doctor of Philosophy programs consist of formal coursework, guided individual study in a chosen field or discipline, study in cognitive areas, and original research which serves as the basis for a scholarly dissertation. The Doctor of Philosophy degree is awarded for scholastic achievement based upon the candidate’s proven comprehensive knowledge in a recognized specialized field of study and for creative scholarship through independent research.

The Ph.D. Program in Social Work and Social Research develops (a) a wide range of methods and skills needed in applied research, (b) a balanced focus on policy and practice in organizational settings dealing with issues of helping, care, and protection concerning social problems, and (c) a focus on understanding human behavior in relation to important social contexts, such as family, work and community. The intent is to avoid narrow methodological focus, and to develop the relationship between policy and practice.

The objectives of the program are:

1. To prepare researchers with knowledge, skills, and ethics that equip them to conduct scholarly inquiry in the areas of social work and social welfare.

2. To prepare graduates to conduct advanced social problem analysis.

3. To prepare graduates with knowledge and skills to develop, test, and evaluate multi-level interventions (individual, family, group, organizational, system, and/or policy) designed to address social problems.

4. To prepare graduates to assume leadership roles in the social welfare community; these roles include academic, policy practice, research/evaluation, and social welfare administration.

5. To provide an option to prepare university-level teachers qualified to provide instruction in undergraduate and graduate social work programs.
Each doctoral student selects a social problem for study. The core curriculum of the doctoral program provides the structure necessary for work with the problem: intervention theory and methodology, research methodology, human behavior theory, policy analysis, social and behavioral science theory, and frameworks for organization and delivery of existing and needed services. Elective courses in the School of Social Work and other departments will provide specialized information and greater depth of understanding.

**The Regional Research Institute for Human Services** provides a base for multiple research projects funded by a variety of federal, state, and private sources. Currently inquiry is under way around areas as diverse as child mental health, early intervention, disability, youth mentoring, domestic violence, juvenile justice, work-life, and patterns of service delivery.

National initiatives located within the RRI: The Research and Training Center on Family Support and Children’s Mental Health, and Reclaiming Futures – Building Community Solutions to Substance Abuse and Delinquency, a program funded by the Robert Wood Johnson Foundation, provide experience in research and training for doctoral students.

**The Center for the Improvement of Services to Children and Families** offers opportunities for research and teaching in the field of child welfare. Developed in collaboration with the School of Extended Studies and the Oregon State Office of Services to Children and Families, it hosts several research projects, provides for training of child welfare workers, and supports the education of M.S.W. Students who plan careers in child welfare.

**Graduates of the Ph.D. program** teach in both graduate and undergraduate schools of social work, fill administrative roles in social and human services, conduct clinical practice and research in an organizational and policy context, and are responsible for the development of new social welfare programs. They are prepared to assume leadership roles in community, state and national settings.

There is continual recruitment for faculty by the approximately 150 accredited graduate schools of social work and the approximately 430 undergraduate programs of social work. Particularly in demand are those persons whose clinical skills are enhanced by study of the organizational and policy context of their work, and who are able to use their skills in practice and research to add to the knowledge base of the profession.

Administrative roles in human service agencies providing direct service are filled by graduates of this program. In addition, leadership positions within the national organizations, such as the National Association of Social Workers and the Council on Social Work Education, are increasingly filled by persons with the capacity to develop and administer new programs. Our graduates are prepared to administer programs in multi-disciplinary organizations serving specific population groups, such as the Children's Defense Fund, the National Committee for the Prevention of Child Abuse, Urban League, Family Service Association of America, National Council on Crime and Delinquency, and other similar programs.

Graduates of this program are well qualified to provide support for legislative personnel working in social welfare and health and human services.
The development of expertise in the policy analysis, research, direct service, and organizational structures of service delivery in a specific problem area also enables graduates to provide training, consultation and technical assistance to social welfare agencies on a fee-for-service basis.

Social workers assume a complex set of responsibilities: (1) the provision of service, at whatever level it is located, so designed as to promote maximum realization of the human potential of the individuals we serve, (2) constant critical examination, testing, and enhancement of the knowledge base upon which practice rests, (3) vigilant examination of and exploration of means of operationalizing the profession's ethical and value base, and (4) responsible contribution of our expertise to the examination and shaping of public policy. These elements are interactive. However, for most students, the education for the master's degree emphasizes the first of these, direct service. Doctoral work deepens the capacity to meet all four demands of the profession. Without members with this training and commitment, the profession will not flourish.
THE PH.D. HANDBOOK

This Ph.D. Student Handbook contains policies of both (1) the School of Social Work regarding our Ph.D. Program, and (2) Portland State University regarding doctoral degrees. In this Handbook, we will try to make clear when policies are PSU policies. Students are also encouraged to consult the PSU Bulletin regarding PSU policies. Students in the combined MSW &Ph.D. Program are also subject to the policies in the MSW Program Handbook.

Selection of a Problem for Study

Prior to admission, students identify a problem of concern to society and to the social work profession that is of particular interest to them. Students may change their focus during the Ph.D. program, with the consultation of their advisor and the Ph.D. Program Director. In the course of doctoral studies, students become proficient in the methodology appropriate for study of the selected problems:

1) Methods for empirical inquiry;
2) Methods of social problem analysis at multiple levels (e.g. individual, community, policy);
3) Interventions at the direct service, organizational, service delivery system, community, and policy levels.

They will also become knowledgeable about the theoretical background necessary for understanding of the problems:

1) Theories of organizational and behavioral change
2) Theories of social work practice;
3) Evaluation of practice, program, and policy;
4) Applied theories of human behavior, such as economics, political science, psychology, sociology, history.

Course of Study

The course of study consists of required and elective course work; required research practicum and elective teaching practicum, a comprehensive examination, and dissertation research. A final oral examination (dissertation defense) is also required. The program will require the equivalent of at least three year's full time work to complete. Three consecutive terms must be spent in full time residence (9 credit hours or more) on the campus.
COURSE DESCRIPTIONS

Course Scheduling

Required Ph.D. classes are usually scheduled on Mondays and Tuesdays.

Ph.D. Courses

Courses listed in this Bulletin are subject to revision. Affected students and applicants will be informed of course changes. Courses with an asterisk (*) are not offered every year.

Required Courses

SW 603 Dissertation (Credit to be arranged.)

SW 620 Social Problem Analysis: Assessment Phase (3 credits)
First in a three course sequence. Assessment phase of the problem solving process applied to the student’s selected social problem. Emphasis on conducting a comprehensive analysis of the social problem, which includes identifying and defining the problem, determining its scope and consequences, and evaluating theory and evidence at various levels of social organization to explain its existence. Involves examination of the relevant cultural, historical, and political contexts.

SW 621 Social Problem Analysis: Intervention Phase (3 credits)
Intervention phase of the social problem solving process applied to the student’s selected social problem. Focus is on the development of a multi-level intervention plan based on review of empirical literature. Program theory and theories of change will be explored. Analysis of policy-level interventions and related effectiveness literature. Construction of logic models. Integration of policy and practice will be emphasized. Prerequisite: SW 620.

SW 622 Social Problem Analysis: Evaluation Phase (3 credits)
Continuation of social problem sequence. Focuses on the evaluation phase of social problem analysis. Evaluation is a set of practices and skills in an applied area of the social sciences that requires grounding in a number of theoretical perspectives and methodological approaches. It necessitates a clear formulation of questions to be answered, an awareness of stakeholders to be considered and a plan for how data will be collected, analyzed and disseminated. Additional priorities include responsiveness to the role of consumers and sensitivity to the cultural context in which research is conducted. Practicality, usefulness and accessibility emphasized. Focuses on the
demands and nuances of the science and art of evaluation. Prerequisites: SW 621, SW 634, SW 635.

SW 630 Empirical Foundations of Knowledge Building in Social Work (3 credits)
Examines the assumptions and conceptual foundation of research in social work. Application of alternative research paradigms to questions important to social work. Context of community and social agency emphasized. Ethical issues of participation of vulnerable populations considered. Exploration of social implications of use of research findings.

SW 631 Introduction to Quantitative Research Methods in Social Work (3 credits)
Introduces students to basic quantitative methods for applied social work research and examines the assumptions underlying quantitative methods. Reviews core elements of research design and the selection of appropriate methods to address specific types of research questions with attention to questions of ethics and research across diverse populations. Includes a review of internal and external validity issues in conducting experimental and quasi-experimental designs. Provides experience in applying quantitative methods by developing a proposal for social work research project.

SW 632 Quantitative Data Analysis in Social Work Research I (4 credits)
Provides preparation in the selection and use of statistical methods appropriate for social work research questions. Covers descriptive statistics, probability theory, statistical inference, and basic inferential methods. Preparation for multivariate statistical methods. Empirical social work studies critiqued and discussed. Includes application and analysis laboratory. Prerequisite: SW 630, 631.

SW 610 (SW 633) Introduction to Qualitative Research Methods in Social Work (3 credits)
First course in required 2-course sequence that introduces students to the theoretical foundations and methods of qualitative research in social work. Examines assumptions and theories underlying qualitative methods, especially issue of ontology, epistemology, and methodology, and specific qualitative traditions (e.g., grounded theory, narrative, participatory action research, ethnography), from a critical perspective. Emphasizes qualitative methods for understanding cultural issues and the empowerment of marginalized populations; considers issues of power, privilege, and oppression. Design of qualitative research, ethical issues, and data collection emphasized. Students gain experience in applying qualitative methods in social work by developing a proposal for a qualitative research project and engaging in some data collection and preliminary analysis, and self reflection. Prerequisite: SW 630.

SW 634 Quantitative Data Analysis in Social Work Research II (4 credits)
Introductory multivariate statistical procedures. Core topics: correlation and partial correlation, reliability and validity of measures and scale construction, and linear and logistic regression. Covers considerations of level of measurement and distributional assumptions for each statistical procedure. Balances developing theoretical understanding and hands-on running of tests and interpretation of results. Prerequisite: SW 632.

SW 610 (SW 635) Qualitative Research Methods in Social Work II (3 credits)
This second of a two course sequence on qualitative research methods will support learners with theoretical foundations, techniques and tools to approach the inquiry process from a critical perspective. Students will gain experience in applying qualitative methods in social work by working on the research project and its data from the first course in the sequence. The course is designed to allow students to both enact and reflect on the typical phases and activities of a qualitative research project. Prerequisite: SW 630 and SW 633.

SW640, SW641, SW642  Research Practicum and Research Practicum Seminar
(6 credit Hours total, usually 2 credit hours per term)
Participation in a research study under the supervision of appropriate faculty. An opportunity to master research skills that fit the student’s learning needs. Time on site working on the project is 200 hours: this can be in a block or spread over up to three quarters, the pattern to be determined by the student and mentor on the project. Portfolio of research experiences developed. Seminar designed to enable students to explore together their experiences in their respective research projects. Students will gain appreciation of the entire process as well as a deepening knowledge through comparison of experiences. Pass/ no pass only. Prerequisite: SW 634

The Research Practicum consists of an applied research experience and a seminar. The purpose of the research practicum is the learning and application of research skills by gaining supervised experience in a research project prior to the dissertation. It provides the opportunity to enhance research skills by applying and integrating content from research methodology and statistics classes. It requires significant participation by the student in an empirically based research project (quantitative, qualitative, or both) with relevance for social work practice or knowledge development.

The Research Practicum should be taken after the successful completion of SW 632 and SW 621, usually in the second year of study. The research practicum takes place prior to beginning work on a dissertation.

Students are expected to spend most of their hours “on site” or in the field. A minimum of 200 hours is required. Research Practicum consists of a total of six credits, usually two credits each for SW 640, SW 641, and SW 642.

Some practica are paid and some are unpaid. Some take place one day per week over a period of time, and some are conducted at 30 hours per week. These arrangements are made between the student and the mentor in the beginning. Practica may take place any term.

The School will take responsibility for the development of practicum settings. Practicum settings are developed by the practicum coordinator (in 2008-09: Maria Talbott). Students may also wish to develop possible practicum placements and bring them to the coordinator for investigation and potential approval. The primary criterion for a research practicum setting is the presence of a mentor, skilled in applied research, and interested in working with an advanced student. The mentor should have a Ph.D. or the equivalent. The mentor should agree to spend one hour in supervision per 15 hours worked by the student. Mentoring may include team supervision and project staff meetings, etc., although some individual mentoring is expected. Practica will be developed at the RRI and at other universities and social agencies in the metropolitan area.
It appears that the most successful placements are those in which the student joins an established research study. Placements in which there is not only a mentor but a research team are preferred. The student is expected to learn as an apprentice, to assist the project and to learn in the process.

By the third week of the term before the student hopes to begin her or his placement, the student should arrange to meet with the practicum coordinator. (Summer and fall placements may require extra lead time, as the coordinator may be away at various times in the summer.) At this meeting, an assessment of the student’s experience in research takes place. The usual areas assessed include (for both qualitative and quantitative research): design of study, grant writing, creation of data collection instruments, collection of data (interviews, questionnaires, observations, other), analysis of data (including use of various statistics and various software packages), managing a research project, and dissemination (including presenting findings at professional conferences and writing for publication). In addition to assessing the areas in which the student is lacking in research experience, this assessment also includes attention to the student’s dissertation and future career plans, to determine which research skills are most important. An attempt is made to place the student in a practicum placement in which the student will obtain some of the most important research skills in which she or he lacks experience. Placements will also be determined by the availability of suitable research projects.

A higher priority is placed on the student obtaining experience in particular skills than on the content of the research study being close to the student’s interests.

The process of “coming together” of student and research mentor is a mutual one. When a student is informed by the practicum coordinator of possible placements, the student is expected to discuss the possible placement with the prospective mentor, and they will both decide whether a research practicum seems to be of mutual interest and of benefit to the student. The two parties will determine whether they wish to undertake the practicum. If they do, the student will inform the practicum coordinator. All practica must be approved by the practicum coordinator before they begin. The coordinator is responsible for final decisions about assignment to the practica. Practicum placements that do not involve sufficient learning of research skills by the student will not be approved.

Before 20 hours of the practicum have elapsed, the student is expected to complete the Research Practicum Approval Form (in Appendix N of paper copies of the handbook, or available from the Ph.D. office) and a narrative description of her or his expected activities in the placement, have the form signed by the appropriate parties, and return the form to the practicum coordinator.

To obtain sufficient variety in experiences, more than one research practicum placement may best meet the learning goals of some students.

During the practicum, students are expected to keep a record of hours worked. Mentors are expected to check this record occasionally.

Several issues may need to be addressed between the student and the mentor. We recommend that when relevant, these issues be addressed and resolved early in the
placement to avoid possible misunderstandings:

1. Pay, either during or after the placement, including Graduate Assistantships
2. Possibilities for co-authorship and/or authorship for the student arising from her or his participation in the practicum. The student should be given appropriate recognition in any publication or presentation based on their work as interns.
3. Possibilities for future dissertation work with the mentor, on a future related study, etc.
4. Possibilities for the student to be “written into” future related grants with paid positions.

The coordinator will meet with the mentor and the student at least once during the practicum.

Students and mentors who are experiencing problems in their practica are expected to contact the practicum coordinator. Students or mentors who wish to terminate a placement should contact the coordinator.

Seminar meetings. Seminar meetings are held for students who are in research practicum placements. These meetings take place monthly. (The meetings are scheduled for mid-day on Tuesdays.) The purpose of the seminar is to draw together and share the knowledge gained from each experience, and to obtain input from other students and the coordinator on any questions the student has about the practicum. The coordinator and the students will offer support to each other as they encounter the inevitable difficulties of research. The coordinator will help students abstract research principles and transferable knowledge from their varied experiences, and will teach research methodology as it applies to issues which arise from the research experience.

Students are expected to attend research practicum seminar meetings. A student who is unable to attend any seminar meeting should arrange to meet individually with the practicum coordinator during that month.

Grading. Research Practicum carries a Pass/No Pass grade. To pass research practicum each term, students will submit to the coordinator a narrative description of their activities so far, their plans for the succeeding term, and a notation of the total hours worked so far. This narrative is to be signed by the student and the mentor.

If a student is consistently unreliable in her or his research practicum (e.g., not showing up, not completing agreed-upon duties, producing work of unacceptable quality), the mentor should contact the practicum coordinator immediately. The student will be informed of the problem and given an opportunity to improve. If the mentor and the practicum coordinator agree that the student’s performance continues to be unsatisfactory, the student will be given a grade of “No Pass”.

Both the Research Practicum Approval Form and the narrative descriptions of what was done in the practicum will be placed in the student’s file.

Evaluations. The following evaluations will be conducted:
1. Student of Practicum Coordinator
2. Mentor of Practicum Coordinator
3. Student of Placement/Mentoring
4. Mentor of Student

When completed, these evaluations will be made available to the affected parties.

**SW 650 History and Philosophy of Social Welfare and Social Work (3 credits)**

History, philosophy, and ethics of social welfare and social work. Focus is on the interaction of social work and social welfare developments with wider economic, social, and political forces. Major philosophical, theoretical, and political issues, the growth and impact of professionalization, and the development of social work methods. Traces historical changes in social work’s identification of, and response to, vulnerable populations.

**SW 660 Ph.D. Seminar (1 credit)**

Discusses current research studies undertaken in the field of social work. Based on published articles, working papers, and research project materials, the seminar features presentations by social work faculty, graduate students, and community partners. Considers practical aspects of applied research, including methodological issues, cultural competency, consumer involvement, and interdisciplinary collaboration. May be repeated for additional credit.

**ELECTIVE COURSES: General Considerations**

Elective course work is highly individualized, and enhances the student’s understanding of the context of the social problem being examined. Most electives must carry or be eligible to carry a least 600 level credit. However, students may take up to nine hours of elective credit at the 500 level with prior approval of the advisor. Students are expected to have a minimum of 23 elective credits which may be distributed across the quarters and years in any pattern.

Electives should be compatible with the intent of the program and the mission of the social work profession. Electives may be used to pursue in depth an area of study not addressed in the core curriculum, to supplement the core curriculum in areas relevant to the student's specific career plans, to prepare for specific aspects of the dissertation, to broaden a student's skill or knowledge base, or to synthesize diverse but relevant areas of study.

Electives should fit with a student's individual goals for pursuit of the Ph.D.. This will require taking courses outside the School of Social Work, or creating independent studies to provide focus in an area of particular interest.

Electives should create opportunities for students to enhance competence in theory, research or practice. Courses outside the School should allow for application of the material to advanced scholarship in social work and social research.

**Cognate Electives.** The “cognate area” is the student’s area of substantive interest. The student and the student’s advisor and advisory committee will agree on the student’s cognate area related to the social problem being studied. A minimum of 6 elective credits in the cognate area are required to be taken outside the School of Social Work in order that the perspective of other disciplines be understood.
**Advanced Research Electives.** In addition, eight credit hours are required in specialized advanced research courses, which will be of particular interest and benefit to the student. These classes may be in Social Work or in other departments. The advisor, the Ph.D. Program Director, and other Ph.D. students will be helpful in locating appropriate advanced research electives.

**Other Electives.** A minimum of 7 additional elective credits are required. (No additional elective credits are required for those in the combined MSW & Ph.D. program.) Following is a list of the electives that are available to Ph.D. students.

**COURSE DESCRIPTIONS—ELECTIVE COURSES**

**SW 601 Research** (Credit to be arranged.)

**SW 605 Reading and Conference** (Credit to be arranged.)

**SW 607 Seminar** (Credit to be arranged.)

**SW 610 Selected Topics** (Credit to be arranged.)

**SW 525/625 Poverty: Policies and Programs** (3 credits)
Examines the nature and causes of poverty and inequality in the United States and the impact of economic globalization on social work’s response to these critical social problems. Studies ways in which people in poverty cope and support each other in low-income urban neighborhoods; examines the ways in which work and welfare interact with each other and with informal social supports. Addresses policy issues, including those involved in both service and income strategies to relieve or prevent poverty; develops skills for effective practice with low-income communities, families, and individuals. Prerequisite: SW 520.

**SW 529/629 International Mental Health Policy** (3 credits)
Compares mental health policies from a global perspective, emphasizing United Nations and World Health Organization perspectives. Programs and policies from various countries are compared and contrasted with those of the U.S., and Oregon in particular. Prerequisite: SW 520.

**SW 545/645 Advanced Human Behavior in the Social Environment** (3 credits)
Provides an opportunity for students to explore current theoretical developments in the social and behavioral sciences which apply to social work practice including populations at risk. Taught in different sections each of which covers social and cultural contexts for human behavior in the social environment. May be repeated for additional credit. Prerequisite: SW 540, SW 541.
SW 651 Integrative Writing Seminar (1 credit)
Course addresses integration of social work theory, practice, policy, and research. Synthesis developed through writing of manuscript for submission to professional journal, a grant application, or other suitable product. Assistance with submission provided. Prerequisite: completion of Part I of comprehensive examinations. May be repeated for additional credit.

SW 653 Ph.D. Data Analysis Seminar (1 credit)
Provides a structure to facilitate a working group of researchers who share ideas and support one another in the conduct of research. Group members may work together on research projects as well as use the group to consult about independent research projects. Expected themes include research design issues, measurement selection, rating and coding procedures, data analysis and presentation and reporting of research results. The primary focus of this group is on quantitative methods, with secondary attention to qualitative methods. Course may be repeated for credit. Prerequisite: SW 634.

SW 578/678 Social Work in the Juvenile and Criminal Justice Systems (3 credits)
Analyzes current controversies concerning the origin and meaning of criminal and delinquent behavior; the socioeconomic and multicultural characteristics of contemporary life contributing to delinquency and crime; social work’s role in the “people processing system”; the major current modalities and inquiry into their effectiveness; social policy issues confronting the juvenile justice system; and current policy and practice trends toward incarceration and away from rehabilitation. Prerequisite: SW 520.

*SW 690 Teaching Practicum (2 credits)
Focuses on the practical aspects of teaching in the social work field. Salient theoretical and practical issues in adult learning explored. Considers the fundamental ideas of social work education. Discusses curriculum planning and issues around human diversity and teaching. Distance learning issues and techniques examined. Supports student teaching experiences.

MSW Electives. A student who wishes to take a 500 level course in the School may take it in one of two ways. First is the option of taking it at the 500 level – Ph.D. students may take up to nine hours of elective credit at the 500 level with prior approval of the advisor. Or the student may arrange with the instructor to do extra work and to register for the course as a doctoral level Reading and Conference course with that person (SW605). This arrangement should be in writing. The student will need to complete the "By Arrangement Request" form which is required by the University for registration and may be obtained from the Ph.D. Program Office. Signatures of the student, the Instructor and the Ph.D. Program Director are required. The Ph.D. Program Office forwards the signed By Arrangement Request to the Registrar’s Office. A sample of this form is found in Appendix N. The MSW Registrar should be informed two weeks prior to the start of registration of a Ph.D. student’s intent to register for an MSW course.
The School of Social Work at Portland State University
Ph.D. in Social Work and Social Research

COURSE OF STUDY

Full-Time Study

Although it is possible to complete the program in three years, a time-frame of four or five years is more realistic. Following the usual full-time course of study (see page 20) will position students to complete the comprehensive exam process and to finish all coursework by the end of year two. The student next works on the Dissertation.

Part-Time Study

The program may be completed on a part-time basis. The course of study is individually planned. Usually the core courses within the SSW will be completed in the first year of study, the research practicum and advanced research methodology courses in the second, with electives being taken as the problem area becomes more focused. In order to ensure timely progress through the Ph.D. program, students must be enrolled in one required sequence per year until core courses are completed. (See chart on page 21.)

Combined M.S.W. and Ph.D. Study

Students who enter the program with a master’s degree in a related field, and who wish to obtain a master’s degree in social work, must complete a modified program designed to supplement their doctoral work with foundation knowledge about the social work profession. Exceptional applicants with just a bachelor's degree are also considered for the MSW-Ph.D. program. Application is made through the Ph.D. program; however, students are admitted to both the M.S.W. and Ph.D. programs and receive both an M.S.W. in Social Work and Ph.D. in Social Work and Social Research. (See chart on page 22.)
# A Sample Course of Study: Full-Time

**Ph.D. in Social Work and Social Research**

<table>
<thead>
<tr>
<th>FIRST YEAR (32 credits)</th>
<th>WINTER</th>
<th>SPRING</th>
</tr>
</thead>
<tbody>
<tr>
<td>SW 650 History, Ethics &amp; Philosophy of Social Work (3 credits)</td>
<td>SW 620 Social Problem Analysis (3 credits)</td>
<td>SW 621 Social Problem Intervention (3 credits)</td>
</tr>
<tr>
<td>SW 630 Empirical Foundations of Knowledge Building in Social Work (3 credits)</td>
<td>SW 632 Quantitative Data Analysis in Social Work Research I (4 credits)</td>
<td>SW 634 Empirical Methods in Data Analysis in Social Work Research II (4 credits)</td>
</tr>
<tr>
<td>SW 631 Intro to Quantitative Methods in Social Work Research (3 credits)</td>
<td>SW 610 Intro to Qualitative Research Methods in Social Work (3 credits) [was SW 633]</td>
<td>SW 610 Qualitative Research Methods in Social Work II (3 credits) [was SW 635]</td>
</tr>
<tr>
<td>SW 660 Ph.D. Seminar (1 credit)</td>
<td>SW 660 Ph.D. Seminar (1 credit)</td>
<td>SW 660 Ph.D. Seminar (1 credit)</td>
</tr>
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<table>
<thead>
<tr>
<th>SECOND YEAR (31 credits)</th>
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<tbody>
<tr>
<td>SW 640 Research Practicum (2 credits)</td>
<td>SW 641 Research Practicum (2 credits)</td>
<td>SW 642 Research Practicum (2 credits)</td>
</tr>
<tr>
<td>SW 622 Social Problem Evaluation (3 credits)</td>
<td>Elective (4 credits)</td>
<td>Elective (4 credits)</td>
</tr>
<tr>
<td>Electives: Adv. Research (5 credits)</td>
<td>Electives (3 credits)</td>
<td>Elective: (3 credits)</td>
</tr>
<tr>
<td>SW 660 Ph.D. Seminar (1 credit)</td>
<td>SW 660 Ph.D. Seminar (1 credit)</td>
<td>SW 660 Ph.D. Seminar (1 credit)</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>THIRD YEAR (27 credits)</th>
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</tr>
</thead>
<tbody>
<tr>
<td>SW 603 Dissertation (9 credits)</td>
<td>SW 603 Dissertation (9 credits)</td>
<td>SW 603 Dissertation (9 credits)</td>
</tr>
</tbody>
</table>

A total of 90 credits is required for graduation. Selection of electives must include six credits in a cognate area outside the School of Social Work, and eight credits of advanced research. Students are expected to have a minimum of 19 elective credits (starting with 2010 cohort), which may be distributed across the quarters and years in any pattern.
# A Sample Course of Study: Part-Time

*Ph.D. in Social Work and Social Research*

<table>
<thead>
<tr>
<th>FALL</th>
<th>WINTER</th>
<th>SPRING</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>FIRST YEAR (26 credits)</strong></td>
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<td></td>
</tr>
<tr>
<td>SW 650 History, Philosophy &amp; Ethics of Social Work (3 credits)</td>
<td>SW 620 Social Problem Analysis (3 credits)</td>
<td>SW 621 Social Problem Intervention (3 credits)</td>
</tr>
<tr>
<td>SW 630 Empirical Foundations of Knowledge Building in Social Work (3 credits)</td>
<td>SW 632 Quantitative Data Analysis in Social Work Research I (4 credits)</td>
<td>SW 634 Quantitative Data Analysis in Social Work Research II (4 credits)</td>
</tr>
<tr>
<td>SW 631 Intro to Quantitative Methods in Social Work Research (3 credits)</td>
<td>SW 660 Ph.D. Seminar (1 credit)</td>
<td>SW 660 Ph.D. Seminar (1 credit)</td>
</tr>
<tr>
<td>SW 660 Ph.D. Seminar (1 credit)</td>
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</tbody>
</table>

| | | |
| SECONd YEAR (16 credits) | | |
| SW 640 Research Practicum (2 credits) | SW 641 Research Practicum (2 credits) | SW 642 Research Practicum (2 credits) |
| Elective (3 credits) | SW 610 Intro to Qualitative Research Methods in Social Work (3 credits) [was SW 633] | SW 610 Qualitative Research Methods in Social Work II (3 credits) [was SW 635] |
| SW 660 Ph.D. Seminar (1 credit) | SW 660 Ph.D. Seminar (1 credit) | SW 660 Ph.D. Seminar (1 credit) |

| | | |
| **THIRD YEAR (21 credits)** | | |
| SW 622 Social Problem Evaluation (3 credits) | Elective (3 credits) | Elective (3 credits) |
| Elective (3 credits) | Elective (3 credits) | Elective (3 credits) |
| Elective (3 credits) | Elective (3 credits) | Elective (3 credits) |

| | | |
| **FOURTH YEAR (27 credits)** | | |
| SW 603 Dissertation (9 credits) | SW 603 Dissertation (9 credits) | SW 603 Dissertation (9 credits) |

A total of 90 credits is required for graduation.
# A Sample Course of Study: Combined M.S.W. and Ph.D.

*In Social Work and Social Research*

<table>
<thead>
<tr>
<th>FALL</th>
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<th>SPRING</th>
</tr>
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<tbody>
<tr>
<td><strong>FIRST YEAR (36 credits)</strong></td>
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<td></td>
</tr>
<tr>
<td>SW 650 History, Philosophy &amp; Ethics of</td>
<td>SW 620 Social Problem Analysis (3 credits)</td>
<td>SW 621 Social Problem Intervention (3</td>
</tr>
<tr>
<td>Social Work and Social Welfare (3 credits)</td>
<td></td>
<td>credits)</td>
</tr>
<tr>
<td>SW 630 Empirical Foundations of</td>
<td>SW 632 Quantitative Data Analysis in</td>
<td>SW 634 Quantitative Data Analysis in</td>
</tr>
<tr>
<td>Knowledge Building in Social Work (3</td>
<td>Social Work Research I (4 credits)</td>
<td>Social Work Research II (4 credits)</td>
</tr>
<tr>
<td>credits)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>SW 631 Intro to Quantitative Research</td>
<td>SW 610 Intro to Qualitative Research Methods</td>
<td>SW 610 Qualitative Research Methods in</td>
</tr>
<tr>
<td>Methods in Social Work (3 credits)</td>
<td>in Social Work (3 credits) [was SW 635]</td>
<td>Social Work II (3 credits) [was SW 635]</td>
</tr>
<tr>
<td>SW 539 Diversity &amp; Social Justice (3</td>
<td>SW 540 Human Behavior in the Social</td>
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<tr>
<td>credits)</td>
<td>Environment (3 credits)</td>
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<tr>
<td>SW 660 Ph.D. Seminar (1 credit)</td>
<td>SW 660 Ph.D. Seminar (1 credit)</td>
<td>SW 660 Ph.D. Seminar (1 credit)</td>
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<td><strong>SECOND YEAR (37 credits)</strong></td>
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<td>SW 622 Social Problem Analysis: Evaluation (3 credits)</td>
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<td>Elective (4 credits)</td>
</tr>
<tr>
<td>SW 500 Field Instruction I (4 credits)</td>
<td>SW 500 Field Instruction II (4 credits)</td>
<td>SW 500 Field Instruction III (4 credits)</td>
</tr>
<tr>
<td>SW 530 Generalist Social Work Practice I</td>
<td>SW 531 Generalist Social Work Practice II</td>
<td>SW 532 Generalist Social Work Practice III</td>
</tr>
<tr>
<td>(3 credits)</td>
<td>(4 credits)</td>
<td>(4 credits)</td>
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<td>SW 660 Ph.D. Seminar (1 credit)</td>
<td>SW 660 Ph.D. Seminar (1 credit)</td>
<td>SW 660 Ph.D. Seminar (1 credit)</td>
</tr>
<tr>
<td></td>
<td></td>
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</tr>
<tr>
<td><strong>THIRD YEAR (36 credits)</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>SW 500 Field Instruction IV (4 credits)</td>
<td>SW 500 Field Instruction V (4 credits)</td>
<td>SW 500 Field Instruction VI (4 credits)</td>
</tr>
<tr>
<td>SW 533, 536 or 580 (Advanced Practice) (3</td>
<td>SW 534, 537 or 581 (Advanced Practice) (3</td>
<td></td>
</tr>
<tr>
<td>credits)</td>
<td>credits)</td>
<td>credits)</td>
</tr>
<tr>
<td>SW 640 Research Practicum (2 credits)</td>
<td>SW 641 Research Practicum (2 credits)</td>
<td>SW 642 Research Practicum (2 credits)</td>
</tr>
<tr>
<td>Elective (3 credits)</td>
<td>Elective (3 credits)</td>
<td>Elective (3 credits)</td>
</tr>
<tr>
<td></td>
<td></td>
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</tr>
<tr>
<td><strong>FOURTH YEAR (27 credits)</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>SW 603 Dissertation (9 credits)</td>
<td>SW 603 Dissertation (9 credits)</td>
<td>SW 603 Dissertation (9 credits)</td>
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</table>

A total of 136 credits is required for graduation.
COMBINED M.S.W. & Ph.D. PROGRAM ADVISORY CHECKLIST  
(Students Admitted 2005 or later).

<table>
<thead>
<tr>
<th>Year One</th>
<th>COURSEWORK</th>
<th>CREDITS</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>____ SW 650 History, Philos., &amp; Ethics of Social Work [SW 520]</td>
<td>3*</td>
</tr>
<tr>
<td></td>
<td>____ SW 630 Empirical Foundations of Knowl. in Social Work [SW 550]</td>
<td>3*</td>
</tr>
<tr>
<td></td>
<td>____ SW 631 Intro. to Quantitative Research Methods [SW 550]</td>
<td>3*</td>
</tr>
<tr>
<td></td>
<td>____ SW 539 Diversity and Social Justice</td>
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<tr>
<td></td>
<td>____ SW 540 Human Behavior in the Social Environment: Micro</td>
<td>3*</td>
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<tr>
<td></td>
<td>____ SW 633 Intro to Qualitative Research Methods [SW 550]</td>
<td>3*</td>
</tr>
<tr>
<td></td>
<td>____ SW 620 Social Problem Analysis [advanced policy elective &amp; advanced HBSE]</td>
<td>3*</td>
</tr>
<tr>
<td></td>
<td>____ SW 632 Empirical Methods of Data Analysis in SW I [SW 551]</td>
<td>4*</td>
</tr>
<tr>
<td></td>
<td>____ SW 621 Social Problem Intervention [SW 541]</td>
<td>3*</td>
</tr>
<tr>
<td></td>
<td>____ SW 634 Empirical Methods of Data Analysis in SW II [SW 590]</td>
<td>4*</td>
</tr>
<tr>
<td></td>
<td>____ SW 635 Advanced Qualitative Methods [SW 551]</td>
<td>3*</td>
</tr>
<tr>
<td></td>
<td>____ SW 660 Seminar (fall, winter, spring)</td>
<td>3</td>
</tr>
</tbody>
</table>

Cdts 38

<table>
<thead>
<tr>
<th>Year Two</th>
<th>COURSEWORK</th>
<th>CREDITS</th>
</tr>
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<tbody>
<tr>
<td></td>
<td>____ SW 622 Social Problem Analysis: Evaluation [SW 541]</td>
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<tr>
<td></td>
<td>____ SW 500 Field Instruction (fall)</td>
<td>4*</td>
</tr>
<tr>
<td></td>
<td>____ SW 500 Field Instruction (winter)</td>
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<tr>
<td></td>
<td>____ SW 500 Field Instruction (spring)</td>
<td>4*</td>
</tr>
<tr>
<td></td>
<td>____ SW 530 Generalist Practice (fall)</td>
<td>3*</td>
</tr>
<tr>
<td></td>
<td>____ SW 531 Generalist Practice (winter)</td>
<td>4*</td>
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<tr>
<td></td>
<td>____ SW 532 Generalist Practice (spring)</td>
<td>4*</td>
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<tr>
<td></td>
<td>____ SW 660 Seminar (fall, winter, spring)</td>
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</table>

XXX Advanced research electives (elective courses) 6

Cdts 35

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<thead>
<tr>
<th>Year Three</th>
<th>COURSEWORK</th>
<th>CREDITS</th>
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</thead>
<tbody>
<tr>
<td></td>
<td>____ SW 500 Field Instruction (fall)</td>
<td>4*</td>
</tr>
<tr>
<td></td>
<td>____ SW 500 Field Instruction (winter)</td>
<td>4*</td>
</tr>
<tr>
<td></td>
<td>____ SW 500 Field Instruction (spring)</td>
<td>4*</td>
</tr>
<tr>
<td></td>
<td>____ SW 5xx Advanced Practice (fall)</td>
<td>3*</td>
</tr>
<tr>
<td></td>
<td>____ SW 5xx Advanced Practice (winter)</td>
<td>3*</td>
</tr>
<tr>
<td></td>
<td>____ SW 5xx Advanced Practice (spring)</td>
<td>3*</td>
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<tr>
<td></td>
<td>____ SW 640-42 Research Practicum</td>
<td>6</td>
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<tr>
<td></td>
<td>____ SW 5xx Advanced practice elective</td>
<td>3*</td>
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<td>____ XXX Cognate electives</td>
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Cdts 36

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<th>Year Four:</th>
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<th>CREDITS</th>
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<tbody>
<tr>
<td></td>
<td>____ SW 603 Dissertation</td>
<td>27</td>
</tr>
</tbody>
</table>

Electives: A total of 83 credits are required for the M.S.W. degree which is normally awarded after M.S.W. requirements are completed, usually after the third year of study. Ph.D. courses equivalent to M.S.W. courses or parts of courses are indicated within brackets.

*Courses required for the M.S.W.; Total M.S.W. credits = 85
Total credits for both M.S.W./Ph.D = 136
ACADEMIC POLICIES AND REGULATIONS

Registration

Advance registration, conducted by the University's Registrar's Office, allows students to enroll in a particular course or section of a course. Students register for classes via the Portland State University Web Registration System. www.pdx.edu. Select the “Classes & Programs” link. Then “Register.” Then “PSU Information System.” Students must log on with their PSU Odin account to access the Internet, then log on to the PSU Information System to register for classes. Registration material for each quarter is sent to students through the listserv. Graduate students are given the first opportunity to register. All requests for courses are processed on a first-come, first-served basis. Early registration is advised.

Joint Campus Course (JC610)

Graduate students at Portland State University may, with advisor, department, and registrar approval, take graduate courses at any of the other institutions in the Oregon State System of Higher Education and Oregon Health Sciences University. It is possible for full-time doctoral students who choose to take "Joint Campus" courses to have grades and GPA recorded on their Portland State University transcripts, if the proper arrangements are made in advance of taking the course. A student registers for these courses using the By Arrangement Request form. The PSU Registrar records each grade on the academic record under Joint-Campus. By Arrangement Request forms may be obtain from the Ph.D. Program Office. Signature of the Dean is required, in addition to a PSU instructor of record, the instructor of the course, and the student. The Ph.D. Program Office forwards the signed By Arrangement Request to the Registrar’s Office. The instructor of the course must provide the PSU instructor of record verification of the student's grade when course is completed. It is the student's responsibility to see that the instructor is aware of this requirement. Courses offered by Extended Studies and Summer Session are not eligible for this program. Please make enquiries at the Ph.D. Program Office, Ext. 725-5016.

Transfer of Credit

Students may petition for transfer of up to 9 quarter credit hours of graduate courses taken prior to admission. Courses must number 600 or above (doctoral level), be closely related to the student's program of study, and have been completed within the past seven years. Courses in which the student received a grade lower than a B will not be considered for transfer. Petitions require approval by the faculty advisor and the Ph.D. Program Committee. Courses used to obtain another degree may not be transferred in. These petitions should be submitted during the student's first year in the Ph.D. program. The Office of Graduate Studies must also approve these petitions.

Taking Courses in Sequence

Students must take the research and social problem courses in sequence, either taking and passing the prerequisite or passing the waiver for the prerequisite. If a student wishes to request an exception to this policy, the student must petition the Ph.D.
Committee. The student must provide information to the Ph.D. Program Committee that both advisor and instructor of the course have approved. A copy of the approval is required for the student's file.

Students planning to take courses out of their usual order should have an advisory committee by the middle of their second quarter in the program.

**Graduate Grading System**

The following grading scale is employed at the Graduate Level at Portland State University:

<table>
<thead>
<tr>
<th>Grade</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>4.00</td>
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<tr>
<td>A-</td>
<td>3.67</td>
</tr>
<tr>
<td>B+</td>
<td>3.33</td>
</tr>
<tr>
<td>B</td>
<td>3.00</td>
</tr>
<tr>
<td>C+</td>
<td>2.67</td>
</tr>
<tr>
<td>C</td>
<td>2.33</td>
</tr>
<tr>
<td>D+</td>
<td>2.00</td>
</tr>
<tr>
<td>D</td>
<td>1.67</td>
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<tr>
<td>F</td>
<td>1.33</td>
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<tr>
<td>I</td>
<td>1.00</td>
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<td>IP</td>
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<tr>
<td>P</td>
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<td>W</td>
<td>0.00</td>
</tr>
<tr>
<td>X</td>
<td>0.00</td>
</tr>
</tbody>
</table>

The following grading system is employed in the Ph.D. program:

- **A**: Excellent: outstanding, exemplary
- **A-**: Excellent
- **B+**: Very good
- **B**: Good: satisfactory graduate level work
- **B-**: Fair: marginal graduate level work
- **C+**: Barely adequate; completes class requirements; below graduate standard
- **C**: Inadequate: below graduate standards, a required course must be repeated
- **D**: Failure: no graduate credit
- **F**: Failure: no graduate credit
- **I**: Incomplete
- **IP**: In progress
- **P**: Pass: satisfactory completion (B- or better)
- **NP**: No credit, unsatisfactory
- **W**: Withdrawn
- **X**: No grade received/No basis for grade.

Students must receive a grade of B- or greater in all required courses. Required courses in which a grade lower than B- is received must be repeated. If a required course is repeated, the grades awarded both times are included in the GPA; however, credit toward the number of credits required for the degree is counted only once. A grade of IP must be used for SW 601 Research or SW 603 Dissertation when a student is progressing in an acceptable manner. Final grades for SW 603 are assigned by the instructor on the Recommendation for the degree form and posted after approval of the dissertation by the Office of Graduate Studies.

**Criteria for Satisfactory Progress in Ph.D. Course Work**

Minimum standards for satisfactory progress through the Ph.D. program are 1) maintenance of a graduate GPA of 3.00 for all graduate credit earned at PSU, and 2) adherence to the
time lines (See discussion under “Timely Progress through the Program.”) Students are also expected to adhere to all PSU and SSW Policies regarding behavior and performance. (See Appendices.) Grades issued by course instructors serve the formal function of indicating satisfactory progress, and are determined by the student's accomplishment of specific course objectives as outlined in the course description. Students are also invited to seek informal dialogue with faculty members for an ongoing and detailed assessment of individual progress.

It is the intention of the Ph.D. program to provide a unique and challenging experience to students regardless of the extent of prior knowledge, and to this end the individual student must bear responsibility for active pursuit of his or her educational goals. When evaluating academic and professional growth, faculty and students should consider such matters as 1) grasp of the substantive content of core courses, 2) ability to use and synthesize diverse sources of theoretical and empirical knowledge to form new hypotheses and argue issues of theory, policy and practice, 3) ability to use abstract concepts appropriately and to operationally define them, 4) ability to express ideas clearly, and 5) capacity for independent thought grounded in the knowledge base of the profession. It is hoped that students will seek an open exchange of information with faculty members regarding all aspects of their individual course of study.

In the event that formal steps are required to bring a student's academic performance within the range of acceptability, the School of Social Work adheres to the following University policies:

In the event that formal steps are required to bring a student's academic performance within the range of acceptability, the School of Social Work adheres to the following University policies:

**Portland State University**  
**Academic Standing Policy for Graduate Students**  
**Effective Fall 2010**

All admitted graduate certificate and degree students at Portland State University must maintain good academic standing during the course of their graduate program at PSU. Good academic standing is defined as maintaining a cumulative graduate GPA of 3.00 or higher in all graduate credits earned at PSU.

All graduate students, especially those in a conditional admission status, are expected to keep in close communication with their departments and to avail themselves of departmental advising.

**Academic Probation.** An admitted graduate student is placed on probation if the student’s cumulative graduate GPA at PSU, based on the completion of 9 or more letter-graded graduate credits after admission to the graduate level at PSU, falls below 3.00.

While on academic probation a student will not be permitted to graduate, to be admitted to a new or different graduate certificate or degree program, to be advanced to doctoral candidacy, to have a thesis or dissertation committee appointed, to receive or continue to hold a graduate assistantship, or to register for more than a total of 9 credit hours in any term.
A student is removed from academic probation if the student’s cumulative graduate GPA is brought up to 3.00 or higher within the next 9 letter-graded graduate credits after beginning probation status.

**Academic Disqualification.** Disqualification occurs if:
1. A student on academic probation fails to achieve a cumulative graduate GPA of 3.00 or higher within the next 9 letter-graded graduate credits after beginning probation status; or
2. A student becomes subject to academic probation for a second time.

A student who is disqualified may not register for any graduate courses at PSU.

**Readmission After Disqualification.** Readmission after disqualification is not automatic. A disqualified student may petition for readmission as a student in a graduate certificate or degree program after one calendar year. Readmission after the mandatory one-year period is initiated by the student’s filing of a petition for readmission to the Graduate Council through the Office of Graduate Studies. Such a petition would need to address the circumstances that led to disqualification and provide evidence of preparedness to resume graduate study.

If a student’s graduate program recommends readmission, the Graduate Council may grant readmission, with or without additional academic requirements, or may recommend continued disqualification. A readmitted student must raise the cumulative graduate GPA to 3.00 or higher within the first 12 letter-graded credits after readmission, or the student will be disqualified.

Graduate courses completed at other institutions while a student is under disqualification at PSU will not be applied toward a graduate program at PSU.

**Unsatisfactory Performance in MSW Practicum** (for students in the Combined MSW & Ph.D. Program)

A student who receives a grade of NP in Field Instruction may not continue enrollment in the MSW program. The student’s admission to the MSW program is rescinded for at least one calendar year, after which the student may reapply for admission to the MSW program.

**Unsatisfactory Student Performance**

Students may be dismissed from the Ph.D. program for unsatisfactory performance. See Appendix G and other Appendices.

**Readmission to SSW after Disqualification**

A disqualified student may petition for readmission as a degree-seeking student to the Ph.D. in Social Work & Social Research program after one calendar year. A disqualified student seeking readmission will have to be readmitted into the SSW through the regular admissions process (within the SSW) and will have to file a petition to apply for University readmission to the Graduate Council through the Office of Graduate Studies and Research. Readmission is not automatic. Disqualified students seeking readmission should consult the Ph.D. Program Director, the PSU BULLETIN, and the Office of Graduate Studies.
readmitted to the University, the student must meet all current admission requirements with the exception of the graduate GPA. The student's cumulative graduate GPA at the time of re-application is based on all graduate work completed at the University subsequent to admission to the Ph.D. in Social Work & Social Research program.

**Repeat of a Graduate Course**

A student will not be given credit toward an advanced degree for the repeat of a course.

**Incomplete Grades**

An Incomplete grade is given only when students, due to circumstances beyond their control, have not met some definite course requirement as set forth by the instructor. Circumstances beyond a student's control usually refer to medical problems, unusual demands or special conditions regarding academic work, severe personal problems, or unusual demands or special conditions regarding employment. The issuance of an Incomplete grade is not automatic. Incomplete grades must be negotiated with the instructor in advance, unless there is an unforeseen emergency at the end of the term. In sequenced courses, in which the completion of the prior course is a prerequisite, the student who earns an Incomplete may not continue in that sequence until the incomplete is removed.

The PSU Faculty Senate has adopted the following policy on incomplete grades. Explanatory material appears in parentheses.

A student may be assigned an "I" mark by an instructor when all of the following four criteria apply:

1. Quality of work in the course up to that point is C level or above (or B at graduate level).

2. Essential work remains to be done. "Essential" here means that a grade for the course could not be assigned without dropping one or more grade points below the level achievable upon completion of the work.

3. Reasons for assigning an "I" must be acceptable to the instructor. The student does not have the right to demand an "I". The circumstances must be unforeseen or be beyond the control of the student. An instructor is entitled to insist on appropriate medical or other documentation. **In no case is an "Incomplete grade" given to enable a student to do additional work to raise a deficient grade.**

4. Consultation must have occurred and a formal agreement must be reached between instructor and student.

A written agreement, (in Appendix N of paper copies of the handbook, or available from the Ph.D. Staff Office) signed by both the student and the instructor, should include a statement of the remaining work to be done to remove the "I" grade and the date, not to exceed one year from the end of the term of enrollment for the course, by which work must be completed in order to earn credit toward the degree. The instructor may specify the highest grade that may be awarded upon completion; the grade awarded should not exceed the level of achievement attained during the regular course period. The instructor may set a shorter deadline which shall be binding.
To remove an "I" an instructor must file a supplementary grade report. When an instructor is unavailable to assign a final mark, another faculty member may be designated according to the departmental guidelines. A student's expressed preference will be taken into consideration in such cases.

An agreement for extension of an "Incomplete" for a longer period than one year is difficult and may not be granted. It may be attempted by petition to the Graduate Council. A Graduate level petition also requires approval of the Ph.D. Program Committee and the Dean of the School of Social Work, as well as the Vice-provost for Graduate Studies and Research. (An instructor's recommendation is required.)

An Incomplete mark becomes part of the permanent transcript record after the deadline expires, except by petition to the Graduate Council.

Withdrawal from Courses

Withdrawal from a course must be initiated by the student. It is the student's responsibility to withdraw properly by the deadline dates published in the PSU Schedule of Classes.

Before classes begin, a student may withdraw from a class with no financial obligation. Withdrawals after classes begin require partial tuition payment. Refunds are automatic and are calculated from the date of official course load reduction.

A student may withdraw with no record on the transcript up to the end of the fourth week of the term. As a courtesy, students are advised to notify the instructor concerned of the intended or completed withdrawal.

A student may withdraw for any reason before the end of the fourth week, but withdrawal subsequent to the fourth week through the end of the eighth week requires instructor approval. A student withdrawing after the end of the fourth week shall have a W recorded on the transcript.

If the student, to the best of the instructor's knowledge, has never attended class, the name on the Grading Register may be assigned an X grade. An auditor may also be assigned an X for insufficient attendance only.

A student who has participated in a course but has failed to complete essential work or attend examinations, and who has not communicated with the instructor, will be assigned an F, a D, a NP, or whatever grade the work has earned.

Leave of Absence

With the exception of summer quarter, a student who wishes to not register for a quarter must have a leave of absence for that quarter. A form, which may be obtained from the Ph.D. Staff Office, must be completed (in Appendix N of paper copies of the handbook, or available from the Ph.D. Staff Office.) The student should submit a request for a leave-of-absence, including the reasons for the request and a plan for continued study, which includes a plan for the year in which the residency requirement will be completed. (IPP Forms in Appendix N of paper copies of the handbook, or available from the Ph.D. Staff Office.) Requests for a leave-of-absence should come through the advisor to the Ph.D.
Program Director. The leave must be approved by the Director of the Program and it will be forwarded to the Office of Graduate Studies.

Once admitted to candidacy, a student must maintain continuous registration. The student must register for at least one graduate credit during every term except summer.

Leave-of-absence is granted only to graduate students in good standing and does not constitute a waiver of the time limit for completion of the Ph.D. degree at Portland State University.

A social work graduate student is considered to be "in good standing" when there is: 1) completion of a minimum of one term with a minimum of two graded courses of graded course work, whether full or part-time; and 2) minimum GPA of 3.00. A plan for the removal of any incomplete grades in course work must be made with the instructor, and recorded on the form, at the time the leave of absence is granted.

A leave of absence may be granted for a maximum period of one year. An additional year may be petitioned and granted. PSU does not allow a leave of absence to extend for longer than two years.

If not granted a leave of absence, students must reapply for admission through the regular admission process.

**Withdrawal from School**

Students accepted and enrolled in the Ph.D. program who terminate their program prior to completion are expected to submit a written statement of intent to withdraw. The statement should be submitted to the student's advisor as soon as a decision is made and no later than the intended date of withdrawal.

The advisor will notify appropriate staff so that school records will reflect the student's withdrawal. A copy of the student's withdrawal should be placed by the advisor in the school file.

It will be necessary for a student who withdraws from the Ph.D. program without a leave of absence to reapply for admission should they wish to return for further study.

Although a student is not required to request approval to withdraw from the School of Social Work, failure to notify the School will adversely affect any future request for further study in the School and/or letters of reference.

It is the student's responsibility to contact the Registrar's Office of the University and notify them of the intent to withdraw.

**Emergency Withdrawal or Leave of Absence**

When a student’s withdrawal from school due to unforeseen circumstances, such as an accident, precludes timely notification, the student is expected to contact the advisor or other representatives of the School as soon as possible. In that event, the advisor will provide notification to appropriate parties including the Registrar of the University and place a statement in the School's file.
On request of the student and/or advisor a leave of absence may be granted, depending upon individual circumstances, on approval of the Ph.D. Program Committee and in accordance with the School's leave of absence policies. It is expected that students experiencing such circumstances will make up time lost as arranged through the advisor and on an individual basis.

**Return of Student Who Has Withdrawn**

The individual petitioning to return after withdrawal must go through a competitive admissions process. He or she is not, however, considered as filling a slot in a new incoming class. The individual must prepare a written statement of request to be re-admitted, outlining circumstances of why the student left the program, and why the student is ready to return. A plan for completion of the program must be submitted. The necessity to re-apply to the University, and pay new application fees, will depend on student status. A returning student can be re-admitted at any time during the year.

**Waiver of Required Elements**

The required courses of the Ph.D. program provide a structure within which each student will address his/her own area of individual study. It is unlikely that a student would find it desirable to omit any element of the program. Students who are considering waiver of required course work should meet with their advisor to discuss and clarify their specific needs. Petition for such a waiver must be approved by the faculty advisor and the Ph.D. Program Committee.

**Placing out of Core Research Courses**

Students who are admitted, who have extensive research background, will not need to take basic research courses which are repetitive, but must take advanced quantitative or qualitative research courses, and must complete the Research Practicum. Waiver exams are available for SW 631 and SW 633. Students must notify the instructor and the Ph.D. program director two weeks before the term starts if they wish to take the waiver exam. Other courses may be waived through a process of individual planning by the advisor and the Ph.D. Program Director with the student, and obtaining approval from the Ph.D. Committee.

**Students Entering from Another Doctoral Program**

Students previously enrolled in another Social Work Ph.D. program at an accredited university, who are in good standing, are eligible for admission to the Ph.D. Program in Social Work and Social Research at Portland State University. Students must apply through the normal admission process and may transfer up to 3O doctoral quarter credit hours, evaluated on a course by course basis. All transfer students must take the complete problem analysis sequence and the core History and Philosophy of Social Work course. Eight credit hours of advanced research are required. The Research Practicum is required of all students. Students must meet the Portland State University Ph.D. residency requirement, pass the comprehensive examinations of the Portland State University Ph.D. Program in Social Work and Social Research, and meet the Program's dissertation requirements.
**Academic and Professional Integrity**

The School of Social Work strives to maintain the highest standards of integrity in academic and professional matters. As representatives of both the School and the profession, doctoral students are expected to exemplify the values and standards of the profession in dealings with clients, colleagues, and the community. Demonstrated understanding of professional ethics is a criterion for evaluation of students in the Ph.D. program, beginning with the application process and extending into all facets of scholarship, research and practice.

A major responsibility of the student to the faculty is the observance of academic honesty. It is assumed that students will be familiar with and adhere to the NASW Code of Ethics, which is reprinted in Appendix A for easy reference or at NASW Online at [www.socialworkers.org](http://www.socialworkers.org). In addition, the School has adopted the Policy on Academic Honesty and Integrity reprinted in Appendix E as a statement of expectations concerning standards of scholarship. All coursework and examinations must represent the student’s own work. Doctoral students conducting research should be particularly concerned with issues related to ethical treatment of human subjects, client confidentiality, plagiarism, truthful representation of data, and responsible dissemination of findings. The University policy on the protection of human subjects in research can be found on the website for the Office of Graduate Studies and Research. The Council on Social Work Education has created a policy about Research Integrity in Social Work Research (See Appendix F.) Questions or concerns about academic and professional integrity should be addressed to the faculty advisor immediately in order to establish an appropriate plan of corrective action. Students concerned about faculty conduct are referred to the grievance procedures listed elsewhere in this handbook.

**Sexual Harassment**

Portland State University prohibits sexual harassment and has adopted a formal policy, a copy of which is presented in Appendix C. The School of Social Work has also adopted a sexual harassment policy.
GRIEVANCE PROCEDURES FOR STUDENTS

Purpose

It is important that each student have some means of making dissatisfaction known to the School of Social Work. A student's complaint should be heard courteously and promptly. The student expressing a grievance should be free from restraint, duress, coercion, discrimination, or reprisal. When a grievance arises, it shall not be considered as reflecting unfavorably on either the student or the School, but is to be considered as an expression of the student's right to question.

Underlying Principles

1. A grievance may be initiated by any SSW student.

2. Early discussion and resolution of a concern is encouraged.

3. A grievance should be resolved at the lowest possible level.

4. A student may file a grievance at any time while enrolled in the Ph.D. program.

5. In order to protect the rights of individuals, only persons directly involved with the grievance and official committee members will participate in the discussion of the grievance. All discussion which occurs during committee meetings will be held in confidence.

The term grievance shall mean a student's expressed dissatisfaction with certain conditions beyond his or her control regarding class, research practicum, or other educational conditions, e.g., capricious or unfair practicum evaluation, capricious or unfair grading, discrimination based on race, gender, or membership in a protected group, or sexual harassment. The procedure for a grievance based on sexual harassment is outlined in Appendix C.

Process

Step 1: An informal means for resolving a grievance is most frequently used by students, where the student and the instructor talk over and usually resolve the grievance on a one-to-one level. At this time the student should consult with his/her Faculty Advisor. If the student is dissatisfied with the results of the informal approach to resolve the grievance, a student may ask the Ph.D. Program Committee to intervene. The student must attempt to pursue the grievance through informal channels prior to bringing the grievance before the Committee.

Step 2: If the grievance cannot be resolved by Step 1, the student will submit a written statement to the Ph.D. Program Committee describing the grievance. The student shall send a copy of the statement to the person against whom the grievance is written who has the option of responding in writing to the Ph.D. Program Committee with a copy to the student. The Committee will review the written statement(s) at its next regular meeting, render a written decision and send a written copy of the decision to each party in the grievance.
Step 3: If a solution is not forthcoming or if either party is dissatisfied with the written solution, the chairperson will arrange for a hearing. The Committee will hear the principals directly involved and faculty members, students or other persons who have immediate knowledge of the situation. The hearing will be audio recorded. Both parties will have access to all written materials used and are entitled to hear all oral presentations at the meeting. The decision will be made by a full committee (excluding the student members), at least a simple majority of whom have attended the hearing. In the absence of any member, or if any member is a principal in the matter, the chairperson will appoint a substitute. Immediately after the hearing, the Committee will convene to decide upon a course of action. The Ph.D. Program Director will provide the Dean of the School of Social Work with a written statement of the committee’s recommended course of action within two academic days after the hearing. The Dean will review the recommendation, render the final decision, and notify the principals in the grievance of the final decision in writing within five academic days after receiving the committee’s recommendation. A copy of the final decision will be provided to the Ph.D. Program Director, and a copy will be placed in the student’s file.

Step 4: In the event of dissatisfaction with the final decision or procedures, the student has the right to review the decision with the Dean of the School of Social Work. The request for review must be made in writing and within one academic week of the notification of the decision.

Step 5: The student has the right to appeal by writing a letter to the Academic Appeals Board. The written appeal and supporting material may be filed in the Portland State University Office of Student Affairs.
STUDENT AFFAIRS

Graduate Governance

The Office of Graduate Studies oversees the University's graduate programs in the interest of ensuring quality instruction and research and promoting the highest achievement of graduate students. Located in 184 XSB, it is the principal arbiter concerning advanced degree requirements, degree status, petition procedures, thesis and dissertation preparation, and final oral examinations. The PSU Graduate Council considers petitions for exceptions to University policies. The petition must first be approved by the faculty advisor and the Ph.D. Program Committee.

The petition process is an option in unusual cases with extenuating circumstances. A petition is not a remedy for poor advising on the part of an academic unit or poor planning on the part of the student. Incomplete petitions will not be reviewed by the Graduate Council. The decision of the Graduate Council is final.

The student is responsible for knowing all regulations and procedures required by the university and the advanced degree program being pursued. In no case will a regulation be waived or an exception granted because of ignorance of the regulation or of the assertion that the student was not informed by the advisor or other authority.

The Ph.D. Program Committee is a standing committee of the faculty and is responsible for the formulation of curriculum, policy recommendations and admissions for the Ph.D. in Social Work and Social Research. It is comprised of the Director of the Ph.D. in Social Work and Social Research program, who is the committee chair, the Associate Dean (Ex Officio), one member of the faculty appointed by the Dean, three elected faculty members, and two student representatives. Student representatives participate in all actions of the Committee, except the appeal of comprehensive examination grades. In other matters related to an individual, student members may participate, unless the student in question requests otherwise.

Through the process of petitioning, the Ph.D. Program Committee will respond to student requests for academic or administrative changes, or exceptions to policy. In addition, the Committee hears student grievances concerning any aspect of the Ph.D. Program. The grievance procedure is explained in detail in an earlier section of the Handbook.

This committee is charged with the administration of the Ph.D. program in the School of Social Work. It also develops general policy guidelines, and specifies goals and objectives of the doctoral program. Additionally, the Ph.D. Program Committee is responsible for the development of guidelines and procedures for: student recruitment and admission; financial aid; student advisement; curriculum implementation; comprehensive examinations; and dissertations. The committee also is charged with developing criteria and procedures for reviewing individual student requests for acceptance of transfer credits, exceptions from the regular course of study, and leaves of absence for students.
2011 - 2012 PH.D. PROGRAM COMMITTEE MEMBERS

Dan Coleman, Ph.D. Program Director
Laurie Powers – Associate Dean for Research
Vicki Cotrell (2011-2013) Elected
Keva Miller (2011-2013) Elected
Roberto Orellana (2011-2013) Elected
Julie Rosenzweig Appointed
Pauline Jivanjee – Associate Dean Academic & Community Affairs (Ex Officio)
Community Representative – To Be Appointed
Ph.D. Student Representative – To Be Appointed
Ph.D. Student Representative – To Be Appointed

Ph.D. Student Social Work Association (PSSWA)

Student life is an important component of the program. The Ph.D. Student Social Work Association (PSSWA) was formed in 1998 to provide support for all Ph.D. social work students and to provide students with a collective voice and a forum for discussion as well as a means for action and input into student affairs and program issues. All Ph.D. students are automatically members with no dues required. Meetings are held once an academic quarter and generally occur in the second week of each term. PSSWA offers brown bag lunches on topics of interest to students, matches up new students who request student mentors with continuing students, publishes a Ph.D. student newsletter, and provides assistance to graduating students with finding employment. PSSWA may also coordinate the planning of the SSW hooding ceremony for the graduating Ph.D. students. PSSWA seek other ways to be responsive to student needs.

The Ph.D. Student Newsletter provides notice of students achieving program milestones, receiving awards, etc. Please provide information about your accomplishments to the Ph.D. Student Newsletter Editor.

Listserv

An electronic listserv is maintained by the Ph.D. program for all Ph.D. students. Important program announcements are distributed through the listserv. Students are expected to update the e-mail address used for the listserv as needed.
Participation in Faculty Meetings and on Committees

Students regularly attend the School's faculty meetings and serve on standing and ad hoc faculty committees. This gives students a voice in the curriculum planning and policy development in the School. It also exposes students to other dimensions of faculty work. Students are elected by the Ph.D. students to serve on committees and to attend faculty meetings. Times and frequency of meetings vary; please contact the Chair or contact person of any committee to discuss specific details. These positions are coordinated through PSSWA. Please let Dan Coleman know if you are interested in serving on any of these committees.

Ph.D. Program
Chair: Dan Coleman

One Continuing Ph.D. Student
One New Ph.D. Student

Cultural Competence and Diversity Council
Contact: Ted Donlan

One Ph.D. Student

Faculty Meetings
Contact: Dan Coleman
(monthly meetings Friday mornings)
One Ph.D. student

Faculty Affairs Committee
Contact: Dan Coleman

SSW Hooding Ceremony Committee

One graduating Ph.D. Student

In addition, Ph.D. students may serve on or participate with faculty search committees.

Ph.D. Program Activities

Desks and study carrels for Ph.D. student use are available in the Ph.D. Study Lounge room 679, and the John Longres Ph.D. Suite in the SSW.

The core required Ph.D. classes usually take place on Monday and Tuesday.

Formal program evaluation takes place yearly, and more informal evaluation occurs continually. The Ph.D. Program Director is interested in student opinions and ideas about the program.

Supporting the Research & Scholarship Development of Doctoral Students

The School of Social Work is committed to preparing doctoral students for successful research careers. Outside of participation in structured classes, doctoral student involvement in research takes various forms, including research practicum, graduate
research assistantships and informal collaboration with faculty in research. These experiences may provide opportunities for students to advance their scholarship through:

- Authorship of a publication;
- Grant writing;
- Data analysis;
- Development of IRB applications;
- Preparation of pre-doctoral or post-doctoral fellowship applications;
- Conducting presentations;
- Participation in grant management / oversight activities, such as preparation of federal reports, and budget monitoring and projection; and
- Other activities identified by the student and faculty member.

At the commencement of such activities, faculty and students are encouraged to discuss specific scholarship development opportunities that could be available, and to develop plans for student involvement that specify activities the student will perform and agreements related to feedback and acknowledgement of the student’s achievements. Such plans should be incorporated within the student’s written educational plan (IPP; Individual Ph.D. Plan). Periodic review of the student’s accomplishments and support should be conducted to monitor and ensure plan achievement.

**Students with Disabilities**

PSU and the School of Social Work are committed to providing accommodations for students who have disabilities in order to equalize their ability to achieve success in academic classes and to ensure physical access to student activities or university-sponsored events. The Disability Resource Center (DRC) provides academic accommodation for students in both classroom and testing situations and coordinates registration for students with disabilities. The DRC is located in Room 435 Smith Memorial Center and can be reached at 725-4150 and through TTY at 725-6504. Students with disabilities should contact the DRC by the third week of class.

**Writing Center**

Students seeking help with writing skills may utilize the Writing Center in Cramer Hall (Room 18F, www.writingcenter.pdx.edu)

**E-Mail (Webmail) Accounts**

All faculty, staff and students receive free e-mail accounts at PSU. To activate your free e-mail account, go to the computing resources account management page online at https://www.account.pdx.edu and follow the steps for creating your account.
SSW Computer Lab for Students
The SSW maintains a Computer Lab in the ASRC. The lab has more than 20 Windows workstations. Reserved times are posted on the doorway to the lab. Use of the SSW Computers is governed by Portland State University's Acceptable Use Policy and by the SSW Computer Lab Policies. A list of Computer Lab FAQs is available on our website at www.pdx.edu/ssw under ‘technology’.

SSW Computing Resources Assistance
The SSW computer systems analyst, Paul Koren, is available to assist with SSW computer problems Monday through Friday from 9:00am to 2:00pm. Paul may be reached by phone at 503-725-5356 or via e-mail at korenp@pdx.edu.

Other Policies of the University and the School of Social Work are listed in the Appendices B-H of this document. Students are urged to become familiar with their rights and responsibilities as members of the Portland State University student body.

PSU Computing Resources
PSU has several computer labs available to students, and a help desk answers computer-related questions. (503-725-HELP).
**PROGRESS THROUGH THE Ph.D. PROGRAM**

This chart is an example of how a student might progress through the Ph.D. program. This chart accompanies the charts that show coursework in the Ph.D. program.

### FIRST YEAR

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<th>FALL</th>
<th>WINTER</th>
<th>SPRING</th>
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<tbody>
<tr>
<td></td>
<td></td>
<td>Complete IPP. Form Advisory Committee and select Chair. Begin to take electives in cognate area.</td>
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### SECOND YEAR

<table>
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<th>FALL</th>
<th>WINTER</th>
<th>SPRING</th>
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<tbody>
<tr>
<td></td>
<td>Under guidance of student’s comprehensive exam committee, work on publishable paper and annotated bibliography. Student may take SW 605 credits while working on paper and bibliography.</td>
<td>Comprehensive Oral Examination. Form Dissertation Committee. Student may take SW 605 credits while working on Specialization Paper.</td>
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Throughout the second year, students are encouraged to sign up for the Writing Seminar, the Data Analysis Seminar, and/or the Teaching Practicum as electives, as well as completing requirements for electives in advanced research and the cognate area.

### THIRD YEAR

<table>
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<th>FALL</th>
<th>WINTER</th>
<th>SPRING</th>
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<tbody>
<tr>
<td></td>
<td>Sign up for SW 603 credits.</td>
<td>Sign up for SW 603 credits. Defend dissertation.</td>
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While working on the dissertation, students may also take the Data Analysis Seminar and the Writing Seminar. However, these courses do not count towards the graduation requirement of 27 hours of SW 603 credit.

*The timeline would, of course, be different for students in the Combined MSW & Ph.D. Program.*
**Individual Ph.D. Plan (IPP)**

Each student will develop an IPP in the Spring Term in the first year. In the IPP, the student and her or his advisor plan the courses the student will take, as well as teaching and research experiences. On updates of the IPP, the student works with the Advisory Committee if one has been appointed, or with the Advisor. The completed and signed IPP is submitted to the Ph.D. Program Office, and used in the Annual Review of Student Progress each Spring Term. The approved plan is then filed with the Office of Graduate Studies. At the time of advancement to candidacy, an updated IPP is submitted to the Ph.D. Program Office and forwarded to the Office of Graduate Studies.

**Residence Requirements—PSU Policy**

A minimum of three academic years of satisfactory graduate study beyond the baccalaureate is required. A minimum of three consecutive terms must be spent in full-time residence, with registration for 9 or more credits each term. Summer term may be included (e.g., spring, summer, fall 2006) or excluded (i.e., spring 2006, fall 2006, and winter 2007) in calculating consecutive terms.

**ACADEMIC ADVISORS**

The student’s advisor for the first year in the program is assigned by the Ph.D. Program Director. After that, the student’s advisor is the chair of his or her advisory committee, and then the chair of his or her dissertation committee.

**The Advisor**

PSU: When a student enters the doctoral program, a faculty advisor shall be designated by the program director to advise the student and to meet in regular consultation concerning the program of studies and research.

SSW: At the time of acceptance into the doctoral program, each student is assigned an advisor. In this assignment, an attempt is made to match student interest, as expressed in the application materials, with the interests of the faculty advisor. The student and advisor work together until an advisory committee is appointed. The advisor has the following duties:

1. Educational planning: The advisor should meet with the student as needed and at least once per term. The advisor should help the student to make progress through the program, and help the student to obtain desired experiences in classes, research and publishing, and teaching. In the spring of the first year, the advisor will assist in the development of a draft Individual Ph.D. Plan (IPP) that reflects the student’s objectives.

2. Referral to other faculty members: The advisor discusses research interests with the student and suggests to the student names of those faculty members who seem best qualified in the substantive field in which the student has an interest. Students are
expected to use their initiative in developing relationships with faculty at the school and the University who share their theoretical and research interests.

Six months before the student intends to take the Comprehensive Examination, usually in the spring of the first year, an advisory committee should be formed of faculty whose expertise most closely matches their interests.

**The Advisory Committee**

The Advisory Committee is formed consisting of at least three members of the School of Social Work faculty. Students ask faculty members to serve on and to chair their advisory committees. At least two members must have a Ph.D. or D.S.W. The Advisory Committee is formed after nine credits have been taken, and is usually formed at the end of the first year or beginning of the second year in the program. The original advisor may or may not be on the Advisory Committee. Students should discuss their interest with several faculty members and may ask them for suggestions about other possible members. When the advisory committee membership is determined, the student generates a form (see Appendix N) and submits it to the Ph.D. Program Assistant. Processing is then done through the Ph.D. Program Office. The Ph.D. Program Director recommends Advisory Committee membership to the Dean who appoints the committee.

The Advisory Committee has the following duties:

1. The Advisory Committee works with the student in forming and refining the IPP, which is forwarded by the Ph.D. Program Office to the Office of Graduate Studies. The plan outlines the courses the student expects to take with as much specificity as possible. Major changes in the plan should be discussed with the Advisory Committee.

2. The chairperson of the Advisory Committee serves as the student's advisor from the time of the appointment of the committee until the dissertation committee is appointed. He/she will help with educational planning, consult on Independent Study proposals, assist with planning a research practicum, encourage publication, help the student to progress through the program, and perform other functions of an advisor.

3. Two of the Advisory Committee members serve as chair and second member of the student’s Comprehensive Exam Committee and guide the student in developing the publishable paper and the annotated bibliography.

4. The Advisory Committee members will assist in the identification of a dissertation research problem, and will offer help to the student in selecting members of the Dissertation Committee. Advisory Committee members may become part of the Dissertation Committee.

**PSU Policies about Advisory Committee**: An advisory committee for the doctoral degree student shall consist of at least three faculty members representative of the student’s field of study. The members of the advisory committee shall be appointed after successful completion of 9 credits and not later than six months prior to the completion of the comprehensive examinations.

**Change in Advisor or Advisory Committee**
If the student wishes to change advisors or members of the Advisory Committee, e.g., because of a sabbatical or a change in the student’s area of interest, the student should discuss this with the Program Director, the former advisor or committee member, and the new advisor or committee member. The Program Director must approve any changes in the advisor role or in membership of the Advisory Committee. Once the change has been approved, the student should notify Pauline Duffy.

**Timely Progress Through the Program**

**PSU Rules about Time Limitation.** Starting Fall 2009 the following PSU rules take effect:

“For students entering with a master’s degree, a maximum of five years will be allowed from admission to completion of all required comprehensive examinations. For students entering with a bachelor’s degree, a maximum of two additional years will be added to this limit, for a maximum of seven years from admission to completion of all comprehensive examinations. Failure to meet this time limit will result in cancellation of admission to the doctoral program.”

“A maximum of three years will be allowed from the completion of comprehensive examinations to advancement to candidacy. Failure to meet this time limit will result in cancellation of admission to the doctoral program.”

“Students admitted to a doctoral program who have not graduated before Fall term 2009 will be grandfathered into these requirements. For example, a student who was admitted in Fall 2006 and has not yet completed comps will have five years beginning Fall 2009 forward to meet this requirement, for a total of eight years (plus an extra two years if the student is working toward a master’s degree at the same time). The third time limit, from advancement to graduation, is currently in existence for all admitted doctoral students; therefore, no grandfather period is needed.”

A doctoral candidate has a minimum of four months and a maximum of five years from the effective date of advancement to candidacy to complete all requirements for graduation, including defense of the dissertation and its final acceptance by the Office of Graduate Studies. Candidates must be continuously enrolled during that period. **Failure to meet the five-year limitation will invalidate passing of the comprehensive examinations and remove the student from candidacy.** Readmission to candidacy requires the passing of the regular, or a special, comprehensive examination. Approvals for readmission are required from the academic program and the Dean of Graduate Studies. Leaves of absence do not affect these time restrictions.

**SSW rules on timely progress.** The SSW expects completion of the Ph.D. within ten years of admission. Exceptions to this SSW rule may be requested through petition to the Ph.D. committee. Note: there were other SSW guidelines that were rendered redundant by the OGS changes in 2009.

**Requirements of continuous registration.** In order to assure timely progress through the Ph.D. Program, students must be enrolled in at least one required sequence per year until core courses are completed. If not enrolled each term students must have an approved leave of absence. Students need to be enrolled for graduate credit during any quarter during which they will complete any part of the comprehensive examination or dissertation.
Guidelines for Annual Review of Student Progress

The annual review process takes place during the spring quarter of every year, and begins with a meeting between each Ph.D. student and the student’s advisor. First-year students usually draft their Individual Ph.D. Plan (IPP, see Appendix N) and then the student and advisor review the plan and determine whether additional communication with the Ph.D. Committee is needed at the annual review meeting of the Ph.D. Committee. Students in their second or later years of the program usually review their progress with their advisors and send a memo to the Ph.D. Program Committee describing their situations. This process has been useful to students and advisors, and has also been helpful in highlighting needs for program changes.

The annual review process takes place during the spring quarter of every year, and begins with a meeting between each Ph.D. student and the assigned advisor. The following is a list of the conditions that determine whether a student will be reviewed at the Ph.D. Committee meeting for the annual review of students. Ph.D. students or their advisors may also request to be reviewed at this meeting.

Students who should be reviewed by the Ph.D. Committee include:

1. All first year students. All first-year students must complete the IPP with their advisors.

2. Students who are in their second year of study or beyond who do not have an advisory committee or have not yet filed an approved Individual Ph.D. Plan (IPP).

3. Any student on academic probation or carrying two or more grades of “incomplete” or “X”.

4. Students who have not completed their comprehensive examinations and who were admitted four or more years ago.

5. Students who have not defended their dissertation proposals and advanced to candidacy who were admitted five or more years ago.

6. Students who completed comprehensive examinations four or more years ago and who have not yet defended their dissertations.

7. Students who began the program nine or more years ago who have not yet defended their dissertations.

8. Any student currently on leave of absence or not continuously enrolled.

9. Any other students who request the Committee to review their records, or where the advisor or program director suggests a formal review. (A review may be requested at any time.)
For students in any of these categories, the student and advisor should meet and prepare a written report to submit to the Ph.D. Committee about the student’s progress or lack thereof, and plans for the future. The student and the advisor may attend this discussion if they wish. Student and advisor attendance is optional. The Committee will review the written statements from the student and advisor about the student’s progress toward the degree, the IPP, the current transcript, and other records available in the student file. The Committee will discuss the student’s situation and plans at the Ph.D. Program Committee meeting dedicated to the annual review. If the committee thinks that action or recommendations should be made, they will be conveyed to the student and the advisor.
THE COMPREHENSIVE EXAMINATION

Before advancement to candidacy and not less than one academic year before all requirements for the doctoral degree are expected to be completed, the student must pass a comprehensive examination process in the field of specialization. The comprehensive examination may not be taken until substantially all the course work for the degree has been completed. Upon completion of the required course work, the student completes a comprehensive examination that consists of a publishable paper, an annotated bibliography, and an oral defense.

The paper and the bibliography will be evaluated by the Review Committee composed of two faculty members from the student’s Advisory Committee selected by the student, and a consulting member appointed by the Ph.D. program. An oral defense of the publishable paper and the bibliography will be conducted. The three person committee will decide if the comprehensive exam is passed. Students are required to notify the Ph.D. program office four weeks in advance of their exam and they must be enrolled in the quarter during which they will complete the comprehensive examination.

I.a. The Publishable Scholarly Paper

Purpose. The overall purpose of the paper is to demonstrate a capacity to integrate theory and research in the student’s area of interest. The student demonstrates this competence by articulating a significant research question, using the most relevant social science theory and empirical research to elucidate and frame the problem, implementing an appropriate analytic procedure to extend knowledge about that problem, and by presenting and discussing the results of that inquiry.

Format. The paper should clearly demonstrate the student’s substantive knowledge (theoretical and empirical) of a social science area of interest and research or scholarly capabilities. The paper should follow a standard format for the type of scholarly article that the paper represents. The requirement may be met with a report of qualitative or quantitative findings, a policy analysis, or a theoretical or historical paper. The paper may be written for a behavioral science, social science, health or social welfare-related journal. The target journal for the paper should be identified.

There are different methods of structuring scholarly papers. Whatever type of scholarly paper that is undertaken, it is imperative that the approach selected allow the student to display a mastery of the subject, its theoretical base and empirical foundations, and its applicability to a social welfare problem or issue. For most social work scholarly papers, the American Psychological Association (APA) guidelines are relevant. As a general guide, the paper is expected to be about 15-25 pages in length and must conform to a particular journal’s style requirements.

Content. The student has wide latitude in selecting a topic and organizing the approach to it. The specific topic, however, should be a significant one in the social sciences, relevant to social work, and be sufficiently broad and established so that there is a body of scholarly literature and research that can be critically brought to bear on the problem, and the analysis should be rigorous.
There are no restrictions regarding the type of analysis undertaken as long as the methodology is systematic and appropriate for the research question. Whether the paper is based on original or secondary data, qualitative or quantitative methods of inquiry, or involves an experiment, survey, case study, or theoretical or historical in nature, it must conform to accepted, rigorous methods of inquiry and analysis. Policy analyses, theoretical or historical papers are expected to represent rigorous scholarship in these traditions.

The paper would generally begin with a clear description of the problem in question, followed by a critical review and assessment of the theory and research bearing on that problem, a rigorous analysis of new or existing information or data, and a discussion of the implications of this analysis.

The paper may be a product of a research internship, an extension of a previously written course paper, or the result of a new inquiry. A purely descriptive review of some body of literature would not meet this requirement, nor would a paper that reports data without embedding it in some intellectual or research tradition. Co-authored papers are acceptable as long as the student is the primary author of the work. In the case of co-authorship, a written statement is required from co-authors affirming the student’s leadership role in developing the manuscript.

Alternative ways of meeting the publishable paper requirement, such as a grant proposal, will be at the discretion of the student’s committee and the Ph.D. program director. Any alternative will have to be broadly comparable in scope, depth, and review process.

It is expected that the scholarly paper will often be developed working closely with one or two faculty members. These faculty members may be members of the Review Committee. The third committee member is appointed later in the process by the Ph.D. director, once the other two members agree the paper is ready for review. The third committee member will be drawn from the Ph.D. Program Comprehensive Exam Committee. When the student, the chair, and the second committee member all agree that the paper is ready to be submitted to the third reviewer, the chair notifies the Ph.D. director and the consulting reviewer will be assigned. The student forwards the paper and the bib to all three committee members. The expectation is that within two weeks, the committee members will review the materials and each produce a decision, as described in section II below.

I.b. Annotated Bibliography

The annotated bibliography is designed for the student to demonstrate mastery of the literature in their area of specialization. The bibliography should be structured into several categories of relevant literature (to be determined by the student in consultation with their committee), for example: theoretical frameworks, qualitative studies, quantitative studies, methodological issues, ethical issues, etc. The citations can use the abstract for each article, but also should have a few sentences of annotation by the student.
noting the contribution of that article, marking a critical perspective on it, and so on. Citations should be in APA format.

Linking of publishable paper and bibliography. The majority of the time the paper and the bibliography will be in the same area the student plans to write a dissertation, but the student could choose to write the paper and the bibliography in an area not tied to their dissertation. If a student wishes to have an un-linked paper and bib, they should discuss this with the chair of their Review Committee, and write a memo to the Ph.D. Director and the comprehensive exam committee setting forth the rationale for un-linking the paper and the bibliography. This request will be reviewed by the Director and at least one member of the comprehensive exam committee.

II. Evaluation Standards and Process.

A. Standards. The content, quality and format of the publishable paper must be comparable to scholarly articles in major professional journals, as judged by the faculty members of the Review Committee. The annotated bibliography should demonstrate mastery of the literature in their area of specialization, at the level expected of an early career scholar.

B. Human Subjects. The student and the chair should determine if Human Subjects approval is required for the planned paper, and the student will secure any needed approval before any work with human subject data begins.

C. Review process: The student submits copies of the paper and the bibliography to the committee members. The student will also submit the Instructions for Authors from the journal they plan to submit to as well as a template article from that journal. Reviewers are instructed to evaluate the paper and the bibliography, making comments about it either on the manuscript and bibliography or separately. A committee member may consult with other committee members, either individually or as a group. Each reviewer should determine whether the scholarly paper: 1. needs minor revisions to meet the requirement, 2. needs major revisions to meet the requirement, 3. meets the requirement of a scholarly publication. Additionally, each reviewer should determine if the bibliography meets the requirements noted above in II.A. The outcome of the review will be determined by agreement of the three reviewers. The chair of the committee serves as a reviewer and as the coordinator of the review process (analogous to the editor of a journal).

1. If the reviewers indicate that the paper or bibliography needs minor revisions, the committee chair will forward the reviewers’ comments and ask the student to revise the manuscript, addressing the concerns of the reviewers, and resubmit the paper within three months. The student is encouraged to meet with the reviewers to discuss the revisions. Once the revised manuscript or bibliography is received by the chair of the Review committee, the oral defense of the publishable paper and the annotated bibliography is scheduled.

2. If two reviewers indicate that the paper or bibliography needs major revisions, the committee chair will forward the reviewers’ comments and ask the student to revise
the manuscript or bibliography, addressing the concerns of the reviewers, and to resubmit the materials within six months. The student is encouraged to meet with the reviewers to discuss the revisions. Upon receiving the revised manuscript, the chair will submit the revision to all the original reviewers to reassess the paper. If the revised submission is judged to require major revisions, the Ph.D. director and one Ph.D. committee member will meet with the Review Committee chair (and other committee members as desired) to determine the student’s status in the program.

3. Once the reviewers agree that the manuscript meets the standard of a publishable paper, the committee chair schedules an oral defense of the paper with the student and the reviewers.

4. In cases where the reviewers disagree, the Chair, in consultation with the Ph.D. Director and at least one Ph.D., committee member, will decide on the appropriate course of action.

D. The usual recourse of appeal to the Ph.D. committee is available to students who disagree with Review Committee decisions.

III. Oral Examination

Following the agreement of the reviewers that the manuscript meets the standard of a publishable paper or only requires minor revisions, and the annotated bibliography meets the requirement, the student is then required to present the paper orally in a 20-30 minute presentation. The presentation should also briefly discuss the connection of the student’s broader area of interest as reflected in the annotated bibliography to the paper. The reviewers will ask questions and engage in a scholarly discussion with the student. The scope of the examination includes the scholarly exam products in the context of the required coursework of the Ph.D. program. Excusing the student and audience members, the reviewers will then discuss the presentation and decide if the manuscript, with no or minor revision, is ready to submit for publication and if the student is ready to take on dissertation research. If so, the student is then assigned a pass on the comprehensive exam.

IIIA. Oral Exam Procedures

1. Only SSW faculty and Ph.D. students will be permitted to attend (although they cannot be active participants).
2. Only the members of the student’s Exam Review Committee will ask questions.
3. All three Exam Review Committee members must give their assent for the student to pass/complete the oral exam.
4. The total amount of time allotted for the oral exam is a maximum of 2.5 hours. Student presenting and committee questioning will take no longer than 2 hours. Committee deliberation and subsequent discussion of results with student will take no longer than 0.5 hour.
5. The format of the oral exam is determined by the committee in accordance with guidelines in the new exam policy statement. It is emphasized that the oral exam should focus on both the publishable paper and the annotated bibliography. With respect to the paper, the student should be able to demonstrate detailed knowledge
of all aspects of the paper and should be able to explain all choices about framing, conducting, and reporting the work. It is recommended that proportionately more of the exam period be devoted to discussion of the student’s annotated bibliography. The student should be able to demonstrate the ability to summarize and synthesize the literature, i.e. highlighting background and significance, important concepts, controversies, empirical findings, methodological approaches, limitations, and future directions as appropriate to the topic.

6. The appropriate line of questioning from the Exam Review Committee should be anchored in: 1) the publishable paper; 2) the annotated bibliography; and 3) reference to the general content of required coursework in the Ph.D. program (e.g., how does this issue relate to the field of social welfare? why is it considered a social problem? what methodological approaches hold promise for research in this area?).

7. If the student does not pass the oral exam, one opportunity to retake the oral exam will be permitted.

IIIb. Oral exam criteria for evaluation
The criteria for passing the oral examination are stated in general terms for the Exam Review Committee to take under advisement:

a. Student demonstrates competence in research and scholarship through ability to describe and justify the procedures, results, and conclusions in the publishable paper.

b. Student demonstrates ability to satisfactorily assess, integrate, and evaluate the literature in the annotated bibliography.

c. Student demonstrates sufficient mastery of the substantive area to undertake independent (dissertation-level) research.

d. Student demonstrates sufficient methodological expertise to undertake independent research (dissertation-level) research.

e. Student demonstrates ability to explain relevance and potential implications of the topic for policy and practice in the field of social work.

IV. Timeline
The comprehensive exam process may be completed once all or nearly all required coursework is complete, typically later in the second year for full-time Ph.D. students. Based on completion pace of the specialization paper under the previous Comprehensive Exam process, it is expected that many students will complete this requirement during their third year in the program.

At the end of year one, students complete an Individual Ph.D. Plan (IPP). They may at that time state their two person Review Committee, the topic of their paper and the source of data (if any). If this information is not specified at that time, it will be requested by mid-term of fall term of the student’s second year by the Ph.D. program.

At the end of year two, and at each subsequent year, if they have not completed the Comprehensive Exam process, students will provide a progress report with their IPP. The existing university and school time limits continue to apply to progress through the program.

IV. Chair status, workload credit, responsibilities.
One member of the committee should be specified as chair (cannot be the third, program-designated member). The chair of the committee gets credit equal to that granted for chairing a specialization committee under the old system (one-half of a course credit). The chair works closely with the student in deciding on readiness for review. The chair leads the Comprehensive Exam Defense meeting, following the format suggested in section III above.

Acknowledgement to Dr. James Lubben and the Boston College Doctoral Program in Social Work for sharing materials adapted here.
Proposal for Appointment of Dissertation Committee (Form GO-16D)

This form with the names of proposed Chair and committee members, including nominations for the Graduate Office Representative, is submitted to the SSW Ph.D. Program Office.

Committee Approved by Office of Graduate Studies, Graduate Office Representative named. Approval is communicated in writing by Office of Graduate Studies to the student, the Dissertation Chair, and the Ph.D. Program Office. The Ph.D. Program Office will notify all Committee members.

Proposal Presentation/Defense

At least 4 weeks before the Proposal Presentation/Defense, the student informs the Ph.D. Program Office of the schedule. Two weeks before the defense, the Program Office sends written notification to faculty and students about the date, time, and location of the meeting. Committee approves (or disapproves) proposal and communicates any necessary changes to student.

Proposal Development Process

Student works with Chair and other Dissertation Committee members to develop and refine proposal. Student sets presentation date when all committee members & Ph.D. program director (if possible) can attend.

Proposal Approval by Office of Graduate Studies, Graduate Office Representative named. Approval is communicated in writing by Office of Graduate Studies to the student, the Dissertation Chair, and the Ph.D. Program Office. The Ph.D. Program Office will notify all Committee members.

Human Subjects Application

Student revises dissertation proposal in light of feedback from committee and prepares and submits 3 copies of Human Subjects Application signed by Committee Chair and Department Head (GSSW Dean) to HSRRC (see Office of Graduate Studies web page for forms, dates*, and other information).

Submit to: Human Subjects Research Review Committee (HSRRC) in Office of Research and Sponsored Projects (Room 600 Unitus Building). *Monthly deadlines for full HSRRC review may not apply to some dissertation proposals. HSRCC applications may be submitted at any time.

When dissertation proposal is approved and Human Subjects approval is obtained, the form called “Notification of Oral Defense of Dissertation Proposal and Request for Advancement to Candidacy” is signed by all committee members, Director of the Ph.D. Program, and the GSSW Dean. This, along with plan for completion of residency requirement, if needed, is transmitted by Ph.D. Program Office to Office of Graduate Studies (600 Unitus Building).

STUDENT ADVANCES TO CANDIDACY. Advancement is communicated in writing by Office of Graduate Studies to the student, the Registrar, Chair of Dissertation Committee, and Ph.D. Program Office.

STUDENT MAY REGISTER FOR SW 603, DISSERTATION CREDIT when s/he has been advanced to candidacy. When advancement to candidacy occurs in the middle of a term, the student may convert research credits (SW 601) for which s/he is registered in that term, to dissertation credit.
HSRRC Review: What’s the process?*

Is project federally funded?

NO

Does project qualify for a WAIVER? (see waiver categories)

YES

ORSP staff may request more information, clarifications, or

NO

Exemption claim is certified by ORSP staff, waiver memo is issued and file is closed

Does project qualify for an EXPEDITED review? (see expedited review categories)

YES

Application is sent to subcommittee (two members of the HSRRC) for review

NO

Project must be reviewed in FULL COMMITTEE

Does the committee or subcommittee request more information, clarifications, or revisions?

NO

Application is put on the committee’s agenda and discussed at the next meeting

YES

Conditional Memo issued to Investigator (student), cc: to Dissertation Chair and Ph.D. Program Office.

Investigator’s response to the conditional memo and file sent to HSRRC chair

Chair reviews file for final approval. Chair also has the option of requesting further information, clarifications, or revisions

Approval memo is issued to Investigator, cc: Dissertation Chair & Ph.D. Program Office. The approval memo notes the application’s approval expiration date and procedures for continuing review

*Under some circumstances the dissertation proposal may not require review by HSRRC (e.g., Ph.D. student is using secondary data or collecting data with and under the approval of another investigator – see page 11a of HSRRC guidelines).

If Investigator (Ph.D. Student) and Chair believe that proposal does not require human subjects review, see page 11a of the HSRRC guidelines or contact the HSRRC to obtain information about the “Review Not Required” form.
**DISSERTATION PROPOSAL PROCESS**

When a student has successfully completed the comprehensive examination, the Ph.D. Program Office notifies the Office of Graduate Studies by submitting a form (Report of Completion of Comprehensive Examination) with signatures of advisory committee members. This form is sent (by the Ph.D. Program Office) to the Office of Graduate Studies. It is not possible to form a dissertation committee until this step is completed.

After completing the comprehensive examination, the student develops a preliminary dissertation proposal—sometimes just a short outline of ideas. This proposal is given to prospective dissertation committee members to assist them in deciding whether their particular expertise will be well used on this committee.

**Dissertation Committee**

The student then develops a dissertation committee, which consists of a minimum of four members, plus a Graduate Office Representative. All members must have a Ph.D. or comparable degree. The chair of the dissertation committee and the Graduate Office Representative must be regular, full-time PSU faculty, tenured or tenure-track, assistant professor or higher in rank. The chair and two additional members must be from the School of Social Work. Up to three additional members may be from the School of Social Work or from departments in the University; some may be adjunct faculty as long as they have doctoral degrees. If it is necessary to go off-campus for one committee member with specific expertise not available among PSU faculty, a curriculum vitae (CV) for that proposed member must be presented.

When the student has ascertained the willingness of the persons described above to serve on the Dissertation Committee, this recommendation is forwarded, through the Ph.D. Staff Office, by the Dean of the School of Social Work to the Dean of Graduate Studies, using the GO16D form, Appointment of Doctoral Dissertation Committee. Two suggestions for Graduate Office Representative are made on this form, in priority order. The Office of Graduate Studies and Research will appoint their representative to the Committee. The Graduate Office Representative must be regular faculty, tenured or tenure-track, assistant professor or higher in rank, with a Ph.D., and from outside the School of Social Work. The Graduate Office requires the Graduate Office Representatives have served on at least one PSU dissertation committee. The Graduate Office Representative may not be the student’s employment or GRA supervisor. The person selected is contacted by the Graduate Office and the appointment is not made until the person accepts.

The GO16D form is forwarded to the Office of Graduate Studies, 184 XSB (Extended Studies Building). This document should be submitted to OGS at least four weeks before the proposal defense, because the Dissertation Committee needs to be officially constituted before the proposal defense takes place. When these steps are completed, the Graduate Office approves the committee and sends copies of the appointment letters and the approved GO-16D to the Graduate Office Representative, the chair, the
doctoral program, and the student. The Ph.D. Program Office will notify all Committee members of appointment approval.

The dissertation chairperson serves as academic advisor to the student from the time of appointment. The dissertation committee takes the place of the advisory committee. The dissertation chair becomes the student’s advisor. The chairperson will assume primary responsibility for working with the student during the execution of the dissertation work, and will help make full use of the contributions of other committee members.

No proposal defense shall be valid without a dissertation committee approved by the Office of Graduate Studies.

After the dissertation committee is appointed, the student completes the final writing of the proposal. In this formative stage, the chair and the student may prefer to work closely together, giving drafts to other committee members as the proposal nears completion. Alternatively, some dissertation chairs and students prefer to involve committee members in the development of the proposal. Committee members must be expected to have ten days to read and respond to any proposal drafts which are substantial in length.

A written dissertation proposal shall be presented to the dissertation committee for discussion, evaluation, and suggested modifications.

While the dissertation proposal is being developed, the student is encouraged to sign up for SW 601 credits with the Dissertation chair.

Proposal Content

The final proposal submitted to the committee for approval should be sufficiently detailed and clear to provide a blueprint for the study to follow. The proposal is expected to include the following:

1. General nature and present status of knowledge of the problem.
2. The theoretical and empirical framework within which the proposed problem exists.
3. The significance of the proposed research and its likely contributions.
4. The research methodology to be used.

Dissertation Proposal - Suggested Guidelines

The following is intended to be a guide to assist students and committee members. Some dissertation proposals will not follow this outline or include these particular components.

Component 1: Introduction
The introduction
- Includes a problem statement
- Makes clear the research question to be addressed
- Describes the motivation for the study
• Describes the context in which the question arises
• Describes the relevance of the study to social work
• Discusses the importance of the study
• Provides a roadmap for readers

Component 2: Literature Review
The review
• Is comprehensive and up-to-date
• Shows a command of the literature
• Contextualizes the problem
• Includes a discussion of the literature that is selective, synthetic, analytical, critical and thematic
• Includes the relevance of the issue to social work and social work research
• Demonstrates the significance of the issue being studied

Component 3: Theory
The theory that is applied or developed
• Is appropriate
• Is logically interpreted
• Is well understood
• Aligns with the question at hand

In addition, the author shows comprehension of the theory’s
• Strengths
• Limitations

Component 4: Research Questions and Hypotheses
The research question and hypotheses:
• Proceed logically from the literature review and theoretical discussion
• Are researchable

Component 5: Proposed Methods
The methods to be applied or developed are
• Appropriate
• Described in detail
• In alignment with the question addressed and the theory used

In addition, the author demonstrates
• An understanding of the methods’ advantages and disadvantages

A common format for methods sections of quantitative studies:
Design
Sample
Measures
Analysis

Component 6: Appendices
• Reference List
Dissertation proposals that are based on data collected from agencies and research projects external to the School of Social Work must be accompanied by letters of agreement from the agency or project directors that assure the Ph.D. candidate will have access to the data proposed for use in the dissertation. These letters will be presented to the Ph.D. Program Director prior to the dissertation proposal defense and will be kept in the student file.

**Proposal Defense**

When the chair and the student decide that the proposal is ready, the oral defense of the dissertation proposal is scheduled. The student or dissertation chair must find a time when all committee members can attend. It must be scheduled four weeks in advance, and must be during the weeks that classes are in session (including examination week). All dissertation committee members must be present. With prior notification, one (non-presiding) member of a committee may attend via conference call. The Director of the Ph.D. program should be consulted about scheduling of the presentation. Committee members should receive the final draft of the proposal at least two weeks before the proposal defense.

The Ph.D. Program Office is notified by the student, and will schedule the room, send written notice to faculty and other Ph.D. students, and send confirming letters to committee members. One day before the defense, the student should send a reminder to all the committee members of the time and location of the defense. After the dissertation proposal presentation, committee members may approve (or disapprove) the proposal, or may ask for modifications prior to approval.

**Human Subjects Research Review Committee (HSRRC)**

When the dissertation committee has approved the proposal, the student develops the Human Subjects draft and submits it to the HSRRC office (MCB 6th floor) for approval.

When the proposal has been approved by committee the student prepares and submits three copies of the Investigator's Assurance form, and the HSRRC Application Proposal, signed by Committee chair and Department Head (SSW Dean), to the Human Subjects Research Review Committee, 600 Market Center Building (MCB). All research involving human subjects conducted by faculty, staff, or students in any program at PSU must have prior approval of the Human Subjects Research Review Committee. This policy applies to all research under the auspices of the university, including survey and questionnaires, whether supported by grant, contract, gift, University, or personal funds. Even if a student's research is exempt from full Human Subjects Research Review Committee review, the student must still file an
application (Review Not Required form); the decision to waive review is made by the HSRRC Committee chair or a designated member of the HSRRC Committee. An outline of HSRRC procedures, dates of committee meetings, and forms are available in the Office of Graduate Studies Research and Sponsored Projects, 600 MCB, and on the OGSR website. **No data may be collected until Human Subjects Research Review Committee approval is obtained.** The student should allow a minimum of six weeks for the approval process.

The doctoral program recommends the student for advancement to candidacy once Human Subjects approval has been granted.

**Advancement to Candidacy**

When the dissertation proposal is approved by the committee, and the approval of the Human Subjects Research Review Committee is obtained, the form called Notification of Oral Defense of Dissertation Proposal and Request for Advancement to Candidacy is signed by all committee members, Director of the Ph.D. Program, and the Dean of the School of Social Work then is transmitted by the Ph.D. Program Office to the Office of Graduate Studies. The request is accompanied by a copy of the Human Subjects Research Review Committee approval. If the student has not completed the residency requirements of three consecutive quarters of nine or more credit hours, a plan for completion of the residency requirement accompanies the request.

Advancement to Candidacy is communicated in writing by the Office of Graduate Studies to the student, the Registrar, Chair of the Dissertation committee, and the Ph.D. Program Office. When advancement to candidacy occurs in the middle of a term, the student may convert research credits, SW 601, for which the student is registered in that term, to dissertation credit SW 603. The conversion is accomplished by a memo from the doctoral program to the Office of Graduate Studies. The student registers with the chair of the dissertation committee for 603 credit by using the By Arrangement Request form. The form is signed by the dissertation chair, given to the Ph.D. Program Office, signed by the Dean of the School of Social Work, and sent to the Registrar’s Office.

If the student has not satisfied the residency requirement by the time of advancement to candidacy, a plan for doctoral residency must accompany the program’s recommendation for advancement. The Dean of Graduate Studies retains final approval authority for advancement to candidacy.
THE DISSERTATION

AND

GRADUATION

The final oral examination (Dissertation Defense) must be passed and degree requirements completed no later than five calendar years after Advancement to Candidacy. University regulations state that a candidate has a minimum of four months and a maximum of five years from the effective date of advancement to candidacy to complete all requirements for graduation, including defense of the dissertation and its final acceptance by the Office of Graduate Studies. Failure to meet the five-year limitation will invalidate passing of the comprehensive examinations and remove the student from candidacy. Readmission to candidacy requires the passing of the regular, or a special, comprehensive examination. Approvals for readmission are required from the academic program and the Dean of Graduate Studies.

The student may register for dissertation credit, SW603 when he/she has been advanced to candidacy. The candidate is expected to register for dissertation and the related research for a minimum of one full-time academic year. Until the degree is granted, the student enrolls for the number of credit hours appropriate to the amount of University services utilized, as determined by the dissertation adviser. Ph.D. students must register for a minimum of 27 hours of dissertation (603) credits before graduation. A minimum continuing enrollment of one graduate credit is required through the term a student graduates.

The student must have 27 dissertation credits to graduate. Students should be aware that if receiving financial aid, federal laws prohibit such aid after 27 dissertation credits are earned. Students may also register for 601, research credits, during the writing of a dissertation. Dissertation credits (603) remain “IP” until the student actually graduates, while research credits (601) can be either IP or be graded each term, depending on how the student registers for SW 601. Students may also wish to enroll in or audit the Writing Seminar and/or the Data Analysis Seminar while they are working on their dissertations.

**Students must maintain continuous registration after advancement to candidacy, including the term the degree is awarded.** After advancement to candidacy student must be registered for at least one (1) graduate credit hour in each term. Students must be registered for all terms in which they are working on any part of the dissertation until graduation. An exception is made for summer term if absolutely no work is being done on or for the dissertation.

**Dissertation in Absentia.** With the written approval of the doctoral program chair, the Dean of Graduate Studies may authorize the dissertation to be prepared in absentia. The student must register at Portland State University at the beginning of each term and conduct the research under the direction of the dissertation adviser.

**Content of Dissertation**
The dissertation is a scholarly document which sets forth the results of the candidate’s original and independent investigation. It must constitute a contribution to knowledge,
significantly enlarging, modifying, or reinterpreting what was previously known. It must be written in acceptable form.

After the successful defense of the dissertation proposal and advancement to candidacy, changes in the original proposal are permitted, but the student is expected to provide a sufficiently complete formulation of the proposal before approval and to keep modifications to a minimum. All major modifications of the approved dissertation proposal must be reviewed and approved by the dissertation committee and the Human Subjects Research Review Committee.

**Dissertation - Suggested Guidelines**

The following is intended to be a guide to assist students and committee members. Some dissertations will not follow this outline or include these particular components.

**Component 1: Introduction**
The introduction
- Includes a problem statement
- Makes clear the research question to be addressed
- Describes the motivation for the study
- Describes the context in which the question arises
- Describes the relevance of the study to social work
- Summarizes the dissertation’s findings
- Discusses the importance of the findings
- Provides a roadmap for readers

**Component 2: Literature Review**
The review
- Is comprehensive and up-to-date
- Shows a command of the literature
- Contextualizes the problem
- Includes a discussion of the literature that is selective, synthetic, analytical, critical and thematic
- Includes the relevance of the issue to social work and social work research
- Demonstrates the significance of the issue being studied

**Component 3: Theory**
The theory that is applied or developed
- Is appropriate
- Is logically interpreted
- Is well understood
- Aligns with the question at hand

In addition, the author shows comprehension of the theory’s
- Strengths
- Limitations
Component 4: Research Questions and Hypotheses
The research question and hypotheses:
- Proceed logically from the literature review and theoretical discussion
- Are researchable

Component 5: Methods
The methods applied or developed are
- Appropriate
- Described in detail
- In alignment with the question addressed and the theory used

In addition, the author demonstrates
- An understanding of the methods’ advantages and disadvantages
- How to use the methods

A common format for methods sections of quantitative studies:
- Design
- Sample
- Measures
- Analysis

Component 6: Results or Analysis
The analysis
- Is appropriate
- Aligns with the question and hypotheses raised
- Shows sophistication

In addition, the amount and quality of data or information is
- Sufficient
- Well presented
- Intelligently interpreted

The author also cogently expresses
- The insights gained from the study
- The study’s limitations

Component 7: Discussion or Conclusion
The conclusion
- Summarizes the findings
- Provides perspective on them
- Refers back to the introduction
- Ties everything together
- Discusses the study’s strengths and weaknesses
- Discusses theoretical implications
- Discusses future directions for research
- Discusses implications for and applications to social policy, social work practice, and social work research
Component 8: Appendices

- Reference List
- Data Collection Instrument(s)
- Human Subjects Application to IRB
- Notification of Approval from IRB


Process of Dissertation Work

Before writing the dissertation, the student should contact Courtney Hanson or the Assistant Coordinator at the Graduate Office to learn about the help they can give in meeting all requirements and standards for the dissertation as stated in the “Dissertation Guidelines.” The guidelines are available online at www.pdx.edu/ogs. The dissertation must be prepared in accordance with the University’s Information Regarding Dissertation Approval, available in the Office of Graduate Studies and Research. It is desirable for the student to keep in occasional contact with Courtney as their dissertation progresses.

Students should work closely with and obtain guidance from all members of the committee throughout the process of the dissertation. The main work is with the dissertation chair, but other committee members should have the opportunity to read sections of the dissertation and give their comments as the dissertation develops. The chairperson, not the student, will plan with other committee members for reading early and final drafts of the dissertation, and for the final defense of the dissertation.

It is the responsibility of the committee chair to assist the student in developing a dissertation which incorporates, to the extent possible, the ideas of all committee members. Where conflicting advice is offered the student, the chair will work with student and committee members to achieve agreement. The draft is revised and corrected as directed by the dissertation committee until it meets the approval of the committee. Students should expect that committee members will need at least 10 days to read and comment on any part of the dissertation.

Dissertation Defense

When all committee members agree that the content of the dissertation is acceptable, it is time to begin planning a dissertation defense. At this time, it can be expected that the student is about one academic quarter away from completion of the degree.

The candidate files the Application for Advanced Degree form with the office of Graduate Studies no later than the first week of the anticipated term of graduation. Students at this time should be fully aware of all the Graduate Candidates’ Deadlines for the year. The Office of Graduate Studies and Research publishes this information on their website along with other helpful information: www.pdx.edu/ogs

One month prior to the final oral examination, the student must notify the Ph.D. Program Office about the upcoming defense. At least two weeks prior to the final oral examination,
the student, in consultation with the chair of the dissertation committee, submits copies of the final draft to each member of the committee. The dissertation should be properly formatted prior to this submission, with all tables, references, and appendices attached. If no changes are required after the defense, the dissertation should be ready to submit to the graduate office in electronic form.

One day before the defense, the student should send a reminder to all the committee members of the time and location of the defense.

On the day of the defense, the student brings to the presentation a copy of the Dissertation Signature Page available from the Office of Graduate Studies: www.pdx.edu/ogs (see Appendix N.)

After tentative approval of the dissertation, the candidate’s dissertation committee shall conduct a final oral examination, or dissertation defense. All committee members, or alternates approved by the Dean of Graduate Studies, must be present. With prior notification, one (non-presiding) member of a committee may attend via conference call. In the rare instance that an absence cannot be avoided, the following applies:

A. Off campus (non PSU faculty) members need not be replaced.
B. All other committee members must be replaced.
C. In both instances a letter must go to the Office of Graduate Studies with an explanation and a request for permission to replace committee member for the defense.

At least four weeks prior to the defense, the candidate is responsible for finding a time when all dissertation committee members are available for the oral examination to be held, and for contacting the Ph.D. Program Office staff who will secure a room for the defense and send out a notice and the dissertation abstract. The dissertation defense is open to the public. A dissertation defense may be scheduled only during the regular University sessions or during the 8-week summer session. The dissertation defense is usually three hours in length. The candidate should coordinate dates with the Ph.D. Program Director to ensure that s/he can attend. The dissertation defense may be held no later than five weeks prior to the conferring of the degree. The defense shall not be given until coursework and residence requirements have been completed.

The student should prepare the abstract of the dissertation prior to the dissertation defense. The abstract will then be included with the notice of the defense.

The final doctoral oral examination, which is open to the public, is the culminating experience in the doctoral studies. The oral examination is a forum in which the student defends the completed dissertation and demonstrates knowledge of the field of specialization as it is related to the dissertation. The candidate is expected to prepare and present orally a formal statement on the research methodology and results; the statement should not exceed 30 minutes. Questions from the committee, or from the audience, may range from asking for explanations of decisions regarding theory, statistical procedures, etc., to asking for elaboration of methodology and findings, to asking for the student’s speculation about the meaning and/or practical importance of findings. The questioning and discussion are for the purpose of: (1) further enlightenment of the candidate and the committee of the significance and limitations of the research, and (2) demonstration that the candidate meets the high expectations of the University for the awarding of the doctoral degree. The
candidate must defend the dissertation as a worthy contribution to knowledge in its field and must demonstrate a mastery of the field of specialization as it is related to the dissertation.

**Agenda for Dissertation Defenses**

1. Dissertation defenses are scheduled for 3 hours.

2. The defense is conducted in a businesslike, professional manner. Food and/or drinks are not to be provided by anyone for a dissertation defense. Individuals attending the defense may, of course, bring in food and drinks for their own consumption.

3. If the Ph.D. Director is present, s/he begins the session and introduces the Chair of the Dissertation Committee. Otherwise, the Chair of the Dissertation Committee introduces him- or her-self and the student. The members of the Dissertation Committee introduce themselves. The Chair of the Dissertation Committee runs the defense meeting. The Chair informs everyone how the meeting will proceed. One non-presiding member of the Committee may participate by conference call as long as they can hear everyone in the meeting and everyone can hear them. This must be arranged in advance.

4. The student presents a summary of the dissertation, usually for about 30 minutes. The student often uses Power Point for this presentation.

5. Each of the Committee members asks several questions of the student about the proposal or the dissertation. The student should not know in advance exactly what all of these questions will be. Some information about the possible content of the questions is available in the *Ph.D. Handbook*.

6. After the Committee members have had sufficient time to query the student and don’t have further questions, the rest of the audience is allowed to ask questions of the student. The question period should end at least a half hour before the scheduled end of the meeting.

7. The Chair asks everyone to leave the room except the Dissertation Committee members. Doors are closed. The committee deliberates and votes. Relevant PSU forms recording the vote are signed.

8. The student is called back into the room and the student is informed of the committee’s decision.

9. Additional information about Dissertation Defenses is available in the *PSU Bulletin*.

All committee members or alternates approved by the Dean of Graduate Studies must be present (or on conference call) for the final examination. For dissertation approval
there may be no more than one dissenting vote on the doctoral final examination. The Graduate Office Representative must approve the dissertation for the defense to be successful. If the final oral examination is not satisfactory, the advisory committee may recommend that the Dean of Graduate Studies permit the candidate to take another oral examination after a period of further study.

The committee may find the dissertation satisfactory, may ask the student to modify parts of a dissertation after a defense, or may ask the student to make major changes. At the time of the defense, the committee signs the form Doctoral Recommendation for the Degree (GO 17-D) in which they note “pass” or “fail” for the defense. This form is then returned to the Ph.D. Program Office for necessary signatures and submission to the Office of Graduate Studies. One committee member can “fail” the candidate; the Graduate Office Representative must give a “pass” in order for the defense to be successful. If the oral examination is unsatisfactory, the Dean of Graduate Studies may authorize the taking of another examination after a period of further study. The results of the second exam are final.

The completed approved dissertation is submitted to the committee, who sign off on the signature sheet which will be filed at OGS. Committee members should have at least two days in which to review minor changes; longer if changes are more extensive. Committee members should not sign the signature sheet until satisfied that the dissertation is complete.

When the student has made any changes necessary and has attained the approval of the dissertation committee, an electronic copy of the dissertation should be sent to Office of Graduate Studies. The Coordinators for Graduate Studies (Courtney Hanson and the Assistant Coordinator) where necessary will discuss technical issues such as numbering of appendix pages, formatting of title pages, etc.

All signatures for the dissertation signature sheet should be completed before the dissertation is submitted to Graduate Studies; the student is responsible for ensuring this form gets completed. The student is responsible for delivering an electronic copy of the completed dissertation to the Office of Graduate Studies meeting the specifications contained in the “Dissertation Guidelines”, prior to the deadline for the quarter in which he/she hopes to graduate. The abstract must be submitted no later than three weeks before graduation. Required corrections must be made before graduation. Deadlines for each term are available in the Office of Graduate Studies and Research or refer to their web site. www.pdx.edu/ogs The student also is required to submit to the Ph.D. Program Office a paper copy, on thesis-quality paper, of the final version which OGS has accepted.

An astonishing number of things can delay the last stages of working with a dissertation. Submission of the dissertation should be planned for about two weeks in advance of the deadline, to allow time for these unplanned events. A large number of master’s theses and doctoral dissertations are submitted to the Office of Graduate Studies each quarter. It will be easiest if the student is working in advance of the deadline.

Once the dissertation is submitted to the Office of Graduate Studies, that office may require minor editorial changes to the dissertation.

Microfilming. Portland State University subscribes to the services offered by University Microfilms International, enabling degree candidates to have their doctoral dissertations microfilmed and abstracts published in the Dissertation Abstracts International.
**Microfilming is mandatory for doctoral candidates.** An abstract not to exceed 350 words, must be submitted to the Office of Graduate Studies with the microfilm agreement form. The charge for this service is $55, payable at the Cashier's office, after picking up the necessary forms in the Office of Graduate Studies. Doctoral students may wish to copyright their dissertations. The charge for this optional service is $45, payable at the Cashier’s office.

An unbound paper copy on thesis-quality paper of the final as submitted to the Office of Graduate Studies must be submitted to the Ph.D. Program Office.

The *National Research Council Survey of Earned Doctorates* must be completed by the student and returned to the Office of Graduate Studies. There is no charge involved.

An abstract for *Social Work Abstracts* must be prepared and submitted to the Ph.D. Program Director.

Incomplete or missing grades in any course must be removed no later than two weeks before graduation.

The advisor completes the Recommendation for the Degree form (GO-17D) which is forwarded to the Office of Graduate Studies and Research no later than the last week of the term of graduation. In-progress grades for required 603 dissertation credits are changed on this form, eliminating the need for the Supplemental Grade Report for these courses.

The Dean of Graduate Studies certifies that all requirements for the degree have been met and recommends awarding of the degree.

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**GRADUATION 😊**

Details on procedures and assistance in planning for graduation are available from the School of Social Work Ph.D. Support Staff Office and the University's Office of Graduate Studies.

Graduates of the Ph.D. Program are encouraged to attend both the PSU and the SSW graduation ceremonies, as well as the SSW “Spring Celebration.” Ph.D. graduates receive individual recognition at all 3 events.

PSU Commencement: Students receiving a doctoral degree are individually recognized at the University graduation ceremonies. They are hooded by the Chair of their dissertation committee and congratulated by the Dean of the School of Social Work and/or the Dean of Graduate Studies. Graduates are also individually acknowledged at the SSW Hooding Ceremony and the SSW Spring Celebration. During the year of completion of the Ph.D. (June through May), graduates are asked to communicate with the Ph.D. Office about their intentions regarding attendance at these ceremonies.

Graduating students should contact Pauline Duffy to have their names removed from the Ph.D. listserv.
AFTER GRADUATION

Graduates of the Ph.D. Program are strongly encouraged to publish their dissertations, in whole or in parts, as journal articles or books. Graduates may do this by themselves, or may work with their chairs or members of their committee to turn the dissertation into publications.

The Ph.D. Program Director and PSSWA provide some assistance toward obtaining employment after graduation. Please contact the Ph.D. Program Director as well as your dissertation chair for guidance.

After graduation, alumni of the Ph.D. Program are asked to keep their contact information current with the Ph.D. Program office as well as the PSU Foundation so they may keep in touch with our Program and School. The Ph.D. Program and the School welcome continuing input, dialogue and support from our alumni.
School of Social Work at Portland State University
Ph.D. in Social Work and Social Research

FINANCIAL ASPECTS

Key Portland State University Contacts Include:

**Tuition and Fees Fall 2011**
See [http://www.pdx.edu/bao/tuition-fees](http://www.pdx.edu/bao/tuition-fees)

**Office of Graduate Studies**
Office of Graduate Studies, 184 XSB, 1633 SW Park Ave., Portland. 503-725-8410

**PSU Financial Aid Office**
Financial Aid Office, Lobby Neuberger Hall, 503-725-3461
e-mail: askfa@mail.pdx.edu

**FINANCIAL AID**

Financial aid in the form of grants, scholarships, fellowships, low interest loans and graduate assistantships are available through various programs of the state and federal government, public and private foundations, the University, and the School. Students are strongly encouraged to pursue external and University scholarships to obtain support for their doctoral education. PhD Students should note that there are a number of sources for funding for dissertation research. When opportunities are publicized, notice usually is made through the PhD listserv.

The following is a list of possible financial sources. Please consult our website at [http://www.pdx.edu/ssw/](http://www.pdx.edu/ssw/) for a more detailed list

**Graduate Research and Graduate Teaching Assistantships (GRAs and TAs)**
Salary and tuition information are available at: [http://www.pdx.edu/ogs/graduate-assistantships](http://www.pdx.edu/ogs/graduate-assistantships)
Guidelines for Tuition Remission and expectations regarding GRAs and TAs work time, etc. can also be found at this site.
Questions about Graduate Assistantships should be directed to the Ph.D. Program Director.

**SSW Scholarships**

Contact School of Social Work: putnamj@pdx.edu
• Duncan and Cindy Campbell Scholarship
• Garrison Gibbons Fellowship
• John F. Longres Endowed Dissertation Research Fund
• The Joan & Charles Shireman Endowed Scholarship
• The Spike Wadsworth Ph.D. Scholarship

Portland State University Scholarships

Unless otherwise noted, for information and applications contact Office of Graduate Studies (see page 1)

• Monroe M. Sweetland Endowed Community Leadership Scholarship
• Frank L. Roberts Community Service Scholarship
• The Oregon Laurels Graduate Tuition Remission Program
• Robert and Rosemary Low Memorial Award
• Deborah Murdock Scholarship
• Judith Lynne Taylor Scholarship
• OUS-SYLFF Graduate Fellowships for International Research
• The Oregon Student Assistance Commission
  Contact: Oregon Student Assistance Commission, 1500 Valley River Drive, Ste. 100, Eugene, OR 97401 or PSU Office of Financial Aid (see page 1)

EXTERNAL FUNDING AND SCHOLARSHIPS

Students are strongly encouraged to consult this website for information about many scholarships that are available to doctoral students in social work: http://www.iaswresearch.org/ (click on “Technical Resources.”)

• Woodrow Wilson Dissertation Fellowships in Women’s Studies
  http://www.woodrow.org/womens-studies
• Charlotte Newcomb Doctoral Dissertation Fellowships
  http://woodrow.org/newcombe
• American Indian Graduate Center
  Executive Director, American Indian Graduate Center, 4520 Montgomery Blvd. NE, Suite 1-B, Albuquerque NM 87109. (505) 881-4584 Fax (505) 884-0427 www.aigc.com
• Association of American Indian Affairs Van Pelt Scholarships
  The Association on American Indian Affairs, Box 268, Sisseton SD 57262 (605) 698-3998 or (605) 698-3787 Fax (605) 698-3316
• Portland Indian Health Service Scholarship
  Contact: Portland Indian Health Service Scholarship, Federal Building, Room 476, 1200 SW 3rd Avenue, Portland OR 97204
• American Sociological Association Minority Fellowship Program
  Contact Frances M. Foster, Minority Affairs Manager, American Sociological Association, 1722 N Street NW, Washington DC 20036, (202) 833-3410.
• Asian American Scholarship and Award Program  
  Scholarship and Award Program, National JACL Headquarters, 1765 Sutter Street,  
  San Francisco CA  94115.  (415) 921-5225  
• Asian Reporter Scholarships  
  Phone (503) 283-4440; Fax (503) 283-4445; E-mail asianreporter@juno.com  
• Council on Social Work Education (CSWE), Minority Fellowship Program  
  Council on Social Work Education, Minority Fellowship Program, 1725 Duke Street,  
  Suite 500, Alexandria VA 22314.  (703) 683-8080, Fax (703) 683-8099.  
  www.cswe.org  
• Influencing State Policy  
  http://www.statepolicy.org/what's_new/phd-flier.html  
• NASW Foundation Doctoral Fellowships and Scholarships  
  http://www.naswfoundation.org  
  The Jane B. Aron Doctoral Fellowship  
  The Eileen Blackey Doctoral Fellowships  
• Hartford Doctoral Fellows Program and Pre-Dissertation Award Program in  
  Geriatric Social Work  
  http://www.gswi.org/programs/hdf.html  
• National Hispanic Scholarship Fund  
  http://www.hsf.net/scholarship/programs/college.php  
  National Hispanic Scholarship Fund, Selection Committee, PO Box 728, Novato CA  
  94948.  (415) 892-9971  
• International Trade and Development Graduate Fellowship Program  
  Contact: Oregon University System, Vice Chancellor for Academic Affairs and Chair,  
  Fellowship Program, PO Box 3175, Eugene OR, 97403-0175, (541) 346-5721, e- 
  mail: Helen_Stampe@sch.ous.edu  
• American Cancer Society  
  http://www.cancer.org/docroot/RES/RES_5.asp?sitearea=RES  
• Center for the Study of Social Work Practice  
  Center for the Study of SW Practice, 1255 Amsterdam Ave., Room 1115, New York,  
  NY 10027  

FEDERAL PROGRAMS  

National Institutes of Health  
  Contact NIH:  www.lrp.nih.gov  
• Aging Research Dissertation Awards to Increase Diversity: R36 awards through  
  National Institute on Aging  
• Agency for Healthcare Research and Quality (DHHS), R36 awards for Health  
  Services Research Dissertations  
• DHHS, R36 Mental Health Dissertation Research Grant to Increase Diversity,  
• Predissertation doctoral awards: http://grants.nih.gov/grants/guide/pa-files/PA-07- 
  002.html  
• Fulbright-Hays Doctoral Dissertation Research Abroad (DDRA) Fellowship  
  Program CFDA 84.022A . Contact: julius.cottonted.gov
• **Ruth Kirschstein National Research Service Awards for Individual Predoctoral Fellowships (F31) to Promote Diversity in Health-Related Research.** DHHS. http://grants.nih.gov/grants/forms.htm

• **Graduate & Professional Opportunities Fellowship**
  Contact: Graduate & Professional Opportunities Fellowship, Graduate Program Branch, Department of Education, 400 Maryland Avenue S.W., Washington D.C. 20202

• **National Research Service Awards for Individual Fellows**
  For more information contact the Alcohol, Drug Abuse, and Mental Health Administration, Grants Management Branch, 5600 Fishers Lane, Rockville MD 20857

**United States Department of Education**
Contact: United States Department of Education, Office of Higher or Continuing Education, 400 Maryland Avenue SW, Washington DC, 20202 or PSU, Office of Financial Aid (see page 1)

**Department of Veterans Affairs Social Work Pre-doctoral Fellowship Program**
Contact VA or email: RobertZeiss@va.gov

**OTHER SOURCES OF FINANCIAL AID INFORMATION**

**Branford P. Millar Library**
The PSU Branford P. Millar Library has a college information table including books and announcement of scholarships, fellowships, grants, etc. Social science librarian: Kimberly Pendell (kpendell@pdx.edu)

**Paradox Data Base**
Branford P. Millar Library, 2nd Floor (College Information Table), PSU

**Fund Finder**
Fund Finder, PSU, Information and Academic Support Center, Smith Memorial Student Union (SMST), Room 425. (503) 725-4005

**Directory of Financial Aid for Women by Gail Ann Schlachter**
Located in most public, college, and university libraries.

**Financial Support for Students Presenting at Conferences and for Special Software, etc.** PSU provides some support through the Marie Brown Travel Award. Contact PSU Office of Graduate Studies (see page 1)
Financial Support for Students Presenting at Conferences and for Special Software, etc.

Ph.D. students are encouraged to present papers and posters at conferences. There is some financial support available for travel to professional conferences when the student has had a paper accepted for presentation. PSU provides some support through the Marie Brown Travel Award (see www.pdx.edu/ogs/scholarships-and-awards), and the SSW may provide some additional support by petition to the Dean’s office. After applying for and being notified of support through the Marie Brown fund, the student may submit a request to the Dean for additional funds. The request should include a letter explaining the purpose and need for the funds, and should include a copy of the forms and notification from the Marie Brown Award. These awards may not cover all the costs associated with travel and conference registration.

Policy about SSW Support for Ph.D. Students for Conferences, Trainings, Software, and Data Base Access

All decisions are subject to availability of funds. Requests that meet the highest number of “Most likely to be funded” criteria are most likely to receive funding.

A. For travel to conferences:

1. Students are expected to apply for funding to any possible other source before approaching the SSW Dean: The Marie Brown Fund, grant funding, etc.
2. After the conference, the student will return to the SSW and figure out with the Ph.D. Director how best to share some of what was learned at the conference. This may involve a presentation by the student to Ph.D. students and faculty.
3. Depending on funding availability, priority will be given to support travel, hotel, conference registration and meals based on these criteria:

Most Likely to Be Funded

The student is presenting a paper or poster at conference.
The student plans to turn the paper into a publication.
The conference is a national conference.
The student is on the job market and the conference is CSWE or SSWR and the student is scheduling interviews for the conference.
The student has advanced to candidacy.
The student has not received prior support from the SSW.

May Be Funded

The conference is regional.
The student is on the job market but is not presenting at the conference. The student has not received other support during that particular year.

**Unlikely to Be Funded**

Local or state conferences.
The student is not presenting nor on the job market.
The student has obtained support for another conference during the current year.
The student has not completed both parts of the comprehensive exams.

**B. For trainings:**

1. Students are expected to apply for funding to any possible other source before approaching the SSW Dean: grant funding, etc.
2. Students may not be able to obtain SSW funding for trainings unless they are GRAs or TAs or otherwise employed by PSU.
3. Students requesting support for training will include with their request a letter of support from their advisor about the student’s suitability and ability to benefit from the training.
4. After the training, the student will return to the SSW and figure out with the Ph.D. Director how best to share some of what was learned at the training. This may involve a presentation by the student to Ph.D. students and faculty.
5. Depending on funding availability, priority will be given to support trainings based on these criteria:

**Most Likely to Be Funded**

The training is for advanced research skills, and the content is not available at PSU. The training is recognized as high quality.
The training is necessary for the student to complete her or his dissertation or is otherwise important to the student’s development. The student plans to turn the dissertation into a publication.
The student has completed both parts of the comprehensive exam.
The student has not received prior support from the SSW.

**May Be Funded**

The training would be useful but is not necessary.
The student has not received other support during that particular year.

**Unlikely to Be Funded**

The student has not completed both parts of the comprehensive exams.
The quality of the training is not clear.
The training is of unclear value to the student’s development.

**C. For software, access to data bases, etc:**
1. Students are expected to apply for funding to any possible other source before approaching the SSW Dean: grant funding, etc.
2. Students requesting support for software or access to data bases will include with their request a letter of support from their advisor about the student’s need for the software or access.
3. The student will figure out with the Ph.D. Director how best to share the software with others, if possible.
4. Depending on funding availability, priority will be given to support trainings based on these criteria:

**Most Likely to Be Funded**

The software is not available on PSU or SSW computers.
The software is recognized as high quality.
The software or data base access is necessary for the student to complete her or his dissertation or is otherwise important to the student’s development. The student plans to turn the dissertation into a publication.
The student has advanced to candidacy.
The student has not received prior support from the SSW.

**May Be Funded**

The software is available on PSU or SSW computers, but due to distance or other accessibility barriers, the student needs it for dissertation research at home.
The student has not received other support during that particular year.
The student has completed both parts of the comprehensive exams.

**Unlikely to Be Funded**

The software or data base access would be useful but is not necessary.
The student has not completed both parts of the comprehensive exams.
The quality of the software is not clear.
The software is of unclear value to the student’s development.
FACILITIES

BRANFORD P. MILLAR LIBRARY

The PSU library can be accessed online at:  http://library.pdx.edu

The Social Sciences Librarian is: Kimberly Pendell
503-725-4501  kpendell@pdx.edu

REGIONAL RESEARCH INSTITUTE (RRI)

Information about the RRI can be found at:  www.rri.pdx.edu

THE CENTER FOR IMPROVEMENT OF CHILD AND FAMILY SERVICES (formerly the Child Welfare Partnership - CWP) can be accessed at:  www.ccf.pdx.edu
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THE SCHOOL OF SOCIAL WORK at PORTLAND STATE UNIVERSITY

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Aaron Pearlman, M.S.W., Director
External Relations
SSW and GSE Development Offices
Ph.D. Program Office
1800 SW Sixth Avenue
ASRC, Suite 600
Mailing address: PO Box 751
Portland, OR 97207-0751

Pauline Duffy
Program Assistant
Ph: 503-725-5016
Fax: 503-725-5545
pauline@pdx.edu

(Pauline usually does not work on Wednesdays.)

Technical Support
Paul Koren
Computer Systems Analyst
Ph: 503-725-5356
Fax: 503-725-5545
korenp@pdx.edu
The School of Social Work at Portland State University
Ph.D. in Social Work and Social Research

CAMPUS INFORMATION

EMERGENCY

Any Emergency on Campus (503) 725-4404
First Aid-PSU Student Health & Counseling (503) 725-2800

HELP NUMBERS

Campus Safety and Security (503) 725-4407
General Information for PSU (503) 725-3000

CAMPUS CALLS

To place a call from a PSU campus telephone to another PSU extension, dial 5 plus the four-digit extension (i.e., 5-2222).

To place a call from a PSU campus telephone to an off campus phone, dial 9 and then the area code and the number (i.e., 9-503-222-2222).

The PSU prefix is 725.

SSW MAILING ADDRESS

School of Social Work
Attn: Name of person receiving mail
P.O. Box 751
Portland, OR 97207-0751

The mailing address for all PSU offices and departments is the same as above with the exception of the school's name. Replace School of Social Work with the name of the school, department and/or person you're mailing to.
APPENDIX A

Code of Ethics
of the National Association of Social Workers

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

Preamble

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

Social workers promote social justice and social change with and on behalf of clients. “Clients” is used inclusively to refer to individuals, families, groups, organizations, and communities. Social workers are sensitive to cultural and ethnic diversity and strive to end discrimination, oppression, poverty, and other forms of social injustice. These activities may be in the form of direct practice, community organizing, supervision, consultation administration, advocacy, social and political action, policy development and implementation, education, and research and evaluation. Social workers seek to enhance the capacity of people to address their own needs. Social workers also seek to promote the responsiveness of organizations, communities, and other social institutions to individuals’ needs and social problems.

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

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

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

Purpose of the NASW Code of Ethics

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

The NASW Code of Ethics serves six purposes:

1. The Code identifies core values on which social work’s mission is based.
2. The Code summarizes broad ethical principles that reflect the profession’s core values and establishes a set of specific ethical standards that should be used to guide social work practice.
3. The Code is designed to help social workers identify relevant considerations when professional obligations conflict or ethical uncertainties arise.
4. The Code provides ethical standards to which the general public can hold the social work profession accountable.
5. The Code socializes practitioners new to the field to social work’s mission, values, ethical principles, and ethical standards.
6. The Code articulates standards that the social work profession itself can use to assess whether social workers have engaged in unethical conduct. NASW has formal procedures to adjudicate ethics complaints filed against its members.* In subscribing to this Code, social workers are required to cooperate in its implementation, participate in NASW adjudication proceedings, and abide by any NASW disciplinary rulings or sanctions based on it.
The Code offers a set of values, principles, and standards to guide decision making and conduct when ethical issues arise. It does not provide a set of rules that prescribe how social workers should act in all situations. Specific applications of the Code must take into account the context in which it is being considered and the possibility of conflicts among the Code’s values, principles, and standards. Ethical responsibilities flow from all human relationships, from the personal and familial to the social and professional.

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

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

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

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

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

A code of ethics cannot guarantee ethical behavior. Moreover, a code of ethics cannot resolve all ethical issues or disputes or capture the richness and complexity involved in striving to make responsible choices within a moral community. Rather, a code of ethics sets forth values, ethical principles, and ethical standards to which professionals aspire and by which their actions can be judged. Social workers’ ethical behavior should result from their personal commitment to engage in ethical practice. The NASW Code of Ethics reflects the commitment of all social workers to uphold the profession’s values and to act ethically. Principles and standards must be applied by individuals of good character who discern moral questions and, in good faith, seek to make reliable ethical judgments.
Ethical Principles

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

Value: Service

Ethical Principle: Social workers’ primary goal is to help people in need and to address social problems.
Social workers elevate service to others above selfinterest. Social workers draw on their knowledge, values, and skills to help people in need and to address social problems. Social workers are encouraged to volunteer some portion of their professional skills with no expectation of significant financial return (pro bono service).

Value: Social Justice

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

Value: Dignity and Worth of the Person

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

Value: Importance of Human Relationships

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

Value: Integrity

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

Value: Competence

Ethical Principle: Social workers practice within their areas of competence and develop and enhance their professional expertise.
Social workers continually strive to increase their professional knowledge and skills and to apply them in practice. Social workers should aspire to contribute to the knowledge base of the profession.

Ethical Standards

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

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

1. SOCIAL WORKERS’ ETHICAL RESPONSIBILITIES TO CLIENTS

1.01 Commitment to Clients

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

1.02 SelfDetermination

Social workers respect and promote the right of clients to selfdetermination and assist clients in their efforts to identify and clarify their goals. Social workers may limit clients’ right to selfdetermination when, in the social workers’ professional judgment, clients’ actions or potential actions pose a serious, foreseeable, and imminent risk to themselves or others.

1.03 Informed Consent

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

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

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

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

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

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

1.04 Competence

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

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

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

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

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

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

1.06 Conflicts of Interest

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

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

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

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

1.07 Privacy and Confidentiality

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

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

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

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

(e) Social workers should discuss with clients and other interested parties the nature of confidentiality and limitations of clients’ right to confidentiality. Social workers should review with clients circumstances where confidential information may be
requested and where disclosure of confidential information may be legally required. This discussion should occur as soon as possible in the social workercient relationship and as needed throughout the course of the relationship.

(f) When social workers provide counseling services to families, couples, or groups, social workers should seek agreement among the parties involved concerning each individual’s right to confidentiality and obligation to preserve the confidentiality of information shared by others. Social workers should inform participants in family, couples, or group counseling that social workers cannot guarantee that all participants will honor such agreements.

(g) Social workers should inform clients involved in family, couples, marital, or group counseling of the social worker’s, employer’s, and agency’s policy concerning the social worker’s disclosure of confidential information among the parties involved in the counseling.

(h) Social workers should not disclose confidential information to thirdparty payers unless clients have authorized such disclosure.

(i) Social workers should not discuss confidential information in any setting unless privacy can be ensured. Social workers should not discuss confidential information in public or semipublic areas such as hallways, waiting rooms, elevators, and restaurants.

(j) Social workers should protect the confidentiality of clients during legal proceedings to the extent permitted by law. When a court of law or other legally authorized body orders social workers to disclose confidential or privileged information without a client’s consent and such disclosure could cause harm to the client, social workers should request that the court withdraw the order or limit the order as narrowly as possible or maintain the records under seal, unavailable for public inspection.

(k) Social workers should protect the confidentiality of clients when responding to requests from members of the media.

(l) Social workers should protect the confidentiality of clients’ written and electronic records and other sensitive information. Social workers should take reasonable steps to ensure that clients’ records are stored in a secure location and that clients’ records are not available to others who are not authorized to have access.

(m) Social workers should take precautions to ensure and maintain the confidentiality of information transmitted to other parties through the use of computers, electronic mail, facsimile machines, telephones and telephone answering machines, and other electronic or computer technology. Disclosure of identifying information should be avoided whenever possible.

(n) Social workers should transfer or dispose of clients’ records in a manner that protects clients’ confidentiality and is consistent with state statutes governing records and social work licensure.

(o) Social workers should take reasonable precautions to protect client confidentiality in the event of the social worker’s termination of practice, incapacitation, or death.

(p) Social workers should not disclose identifying information when discussing clients for teaching or training purposes unless the client has consented to disclosure of confidential information.

(q) Social workers should not disclose identifying information when discussing clients with consultants unless the client has consented to disclosure of confidential information or there is a compelling need for such disclosure.

(r) Social workers should protect the confidentiality of deceased clients consistent with the preceding standards.

1.08 Access to Records

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

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

1.09 Sexual Relationships

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

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

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

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

1.10 Physical Contact

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

1.11 Sexual Harassment

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

1.12 Derogatory Language

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

1.13 Payment for Services

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

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

1.14 Clients Who Lack Decision-Making Capacity

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

1.15 Interruption of Services

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

1.16 Termination of Services

(a) Social workers should terminate services to clients and professional relationships with them when such services and relationships are no longer required or no longer serve the clients’ needs or interests.

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

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

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

(e) Social workers who anticipate the termination or interruption of services to clients should notify clients promptly and seek the transfer, referral, or continuation of services in relation to the clients’ needs and preferences.

(f) Social workers who are leaving an employment setting should inform clients of appropriate options for the continuation of services and of the benefits and risks of the options.

2. SOCIAL WORKERS’ ETHICAL RESPONSIBILITIES TO COLLEAGUES

2.01 Respect

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

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

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

2.02 Confidentiality

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

2.03 Interdisciplinary Collaboration

(a) Social workers who are members of an interdisciplinary team should participate in and contribute to decisions that affect the wellbeing of clients by drawing on the perspectives, values, and experiences of the social work profession. Professional and ethical obligations of the interdisciplinary team as a whole and of its individual members should be clearly established.

(b) Social workers for whom a team decision raises ethical concerns should attempt to resolve the disagreement through appropriate channels. If the
disagreement cannot be resolved, social workers should pursue other avenues to address their concerns consistent with client wellbeing.

2.04 Disputes Involving Colleagues

(a) Social workers should not take advantage of a dispute between a colleague and an employer to obtain a position or otherwise advance the social workers’ own interests.

(b) Social workers should not exploit clients in disputes with colleagues or engage clients in any inappropriate discussion of conflicts between social workers and their colleagues.

2.05 Consultation

(a) Social workers should seek the advice and counsel of colleagues whenever such consultation is in the best interests of clients.

(b) Social workers should keep themselves informed about colleagues’ areas of expertise and competencies. Social workers should seek consultation only from colleagues who have demonstrated knowledge, expertise, and competence related to the subject of the consultation.

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

2.06 Referral for Services

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

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

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

2.07 Sexual Relationships

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

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

2.08 Sexual Harassment

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

2.09 Impairment of Colleagues

(a) Social workers who have direct knowledge of a social work colleague’s impairment that is due to personal problems, psychosocial distress, substance abuse, or mental health difficulties and that interferes with practice effectiveness should consult with that colleague when feasible and assist the colleague in taking remedial action.

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

2.10 Incompetence of Colleagues

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

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

2.11 Unethical Conduct of Colleagues

(a) Social workers should take adequate measures to discourage, prevent, expose, and correct the unethical conduct of colleagues.

(b) Social workers should be knowledgeable about established policies and procedures for handling concerns about colleagues’ unethical behavior. Social workers should be familiar with national, state, and local procedures for handling ethics complaints. These include policies and procedures created by NASW, licensing and regulatory bodies, employers, agencies, and other professional organizations.

(c) Social workers who believe that a colleague has acted unethically should seek resolution by discussing their concerns with the colleague when feasible and when such discussion is likely to be productive.

(d) When necessary, social workers who believe that a colleague has acted unethically should take action through appropriate formal channels (such as contacting a state licensing board or regulatory body, an NASW committee on inquiry, or other professional ethics committees).

(e) Social workers should defend and assist colleagues who are unjustly charged with unethical conduct.

3. SOCIAL WORKERS’ ETHICAL RESPONSIBILITIES IN PRACTICE SETTINGS

3.01 Supervision and Consultation

(a) Social workers who provide supervision or consultation should have the necessary knowledge and skill to supervise or consult appropriately and should do so only within their areas of knowledge and competence.

(b) Social workers who provide supervision or consultation are responsible for setting clear, appropriate, and culturally sensitive boundaries.

(c) Social workers should not engage in any dual or multiple relationships with supervisees in which there is a risk of exploitation 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 LaborManagement Disputes

(a) Social workers may engage in organized action, including the formation of and participation in labor unions, to improve services to clients and working conditions.

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

4. SOCIAL WORKERS’ ETHICAL RESPONSIBILITIES AS PROFESSIONALS

4.01 Competence

(a) Social workers should accept responsibility or employment only on the basis of existing competence or the intention to acquire the necessary competence.

(b) Social workers should strive to become and remain proficient in professional practice and the performance of professional functions. Social workers should critically examine and keep current with emerging knowledge relevant to social work. Social workers should routinely review the professional literature and participate in continuing education relevant to social work practice and social work ethics.

(c) Social workers should base practice on recognized knowledge, including empirically based knowledge, relevant to social work and social work ethics.

4.02 Discrimination

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

4.03 Private Conduct

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

4.04 Dishonesty, Fraud, and Deception

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

4.05 Impairment

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

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

4.06 Misrepresentation

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

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

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

4.07 Solicitations

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

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

4.08 Acknowledging Credit

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

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

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

5.01 Integrity of the Profession

(a) Social workers should work toward the maintenance and promotion of high standards of practice.

(b) Social workers should uphold and advance the values, ethics, knowledge, and mission of the profession. Social workers should protect, enhance, and improve the integrity of the profession through appropriate study and research, active discussion, and responsible criticism of the profession.

(c) Social workers should contribute time and professional expertise to activities that promote respect for the value, integrity, and competence of the social work profession. These activities may include teaching, research, consultation, service, legislative testimony, presentations in the community, and participation in their professional organizations.

(d) Social workers should contribute to the knowledge base of social work and share with colleagues their knowledge related to practice, research, and ethics. Social workers should seek to contribute to the profession’s literature and to share their knowledge at professional meetings and conferences.

(e) Social workers should act to prevent the unauthorized and unqualified practice of social work.

5.02 Evaluation and Research

(a) Social workers should monitor and evaluate policies, the implementation of programs, and practice interventions.

(b) Social workers should promote and facilitate evaluation and research to contribute to the development of knowledge.

(c) Social workers should critically examine and keep current with emerging knowledge relevant to social work and fully use evaluation and research evidence in their professional practice.

(d) Social workers engaged in evaluation or research should carefully consider possible consequences and should follow guidelines developed for the protection of evaluation and research participants. Appropriate institutional review boards should be consulted.

(e) Social workers engaged in evaluation or research should obtain voluntary and written informed consent from participants, when appropriate, without any implied or actual deprivation or penalty for refusal to participate; without undue inducement to participate; and with due regard for participants’ wellbeing, privacy, and dignity. Informed consent should include information about the nature, extent, and duration of the participation requested and disclosure of the risks and benefits of participation in the research.
(f) When evaluation or research participants are incapable of giving informed consent, social workers should provide an appropriate explanation to the participants, obtain the participants’ assent to the extent they are able, and obtain written consent from an appropriate proxy.

(g) Social workers should never design or conduct evaluation or research that does not use consent procedures, such as certain forms of naturalistic observation and archival research, unless rigorous and responsible review of the research has found it to be justified because of its prospective scientific, educational, or applied value and unless equally effective alternative procedures that do not involve waiver of consent are not feasible.

(h) Social workers should inform participants of their right to withdraw from evaluation and research at any time without penalty.

(i) Social workers should take appropriate steps to ensure that participants in evaluation and research have access to appropriate supportive services.

(j) Social workers engaged in evaluation or research should protect participants from unwarranted physical or mental distress, harm, danger, or deprivation.

(k) Social workers engaged in the evaluation of services should discuss collected information only for professional purposes and only with people professionally concerned with this information.

(l) Social workers engaged in evaluation or research should ensure the anonymity or confidentiality of participants and of the data obtained from them. Social workers should inform participants of any limits of confidentiality, the measures that will be taken to ensure confidentiality, and when any records containing research data will be destroyed.

(m) Social workers who report evaluation and research results should protect participants’ confidentiality by omitting identifying information unless proper consent has been obtained authorizing disclosure.

(n) Social workers should report evaluation and research findings accurately. They should not fabricate or falsify results and should take steps to correct any errors later found in published data using standard publication methods.

(o) Social workers engaged in evaluation or research should be alert to and avoid conflicts of interest and dual relationships with participants, should inform participants when a real or potential conflict of interest arises, and should take steps to resolve the issue in a manner that makes participants’ interests primary.

(p) Social workers should educate themselves, their students, and their colleagues about responsible research practices.

6. SOCIAL WORKERS’ ETHICAL RESPONSIBILITIES TO THE BROADER SOCIETY

6.01 Social Welfare

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

6.02 Public Participation

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

6.03 Public Emergencies

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

6.04 Social and Political Action

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

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

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

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

POLICY STATEMENT ON RIGHTS, FREEDOMS, AND RESPONSIBILITIES OF STUDENTS – PORTLAND STATE UNIVERSITY

Portland State University is a community that exists for the generation, acquisition, diffusion, and preservation of knowledge, the growth of all its members, and the general well-being of society. Free inquiry and free expression are indispensable to the attainment of these goals. All members of the University community are encouraged to develop the capacity for critical judgment and to engage in a sustained and independent search for truth in an atmosphere of academic freedom.

Freedom to teach and freedom to learn are inseparable facets of academic freedom. The freedom to learn depends upon appropriate opportunities and conditions in the classroom as well as elsewhere on campus.

The responsibility to secure and to respect general conditions conducive to the freedom to learn is shared by all members of the University community. The University has developed policies and procedures which provide and safeguard this freedom, within the framework of general standards, and with the broadest possible participation of the members of the university community. This document articulates the general policies that provide for the academic freedom of students in this university community and forms the basis on which more specific policies such as the "Student Conduct Code," rules on student records, etc., have been formulated and adopted.

SECTION I - ACCESS TO PORTLAND STATE UNIVERSITY

A. Admissions, Retention and Graduation

Portland State University supports equal educational opportunity for all students, regardless of sex, race, national origin, age, marital status, handicap, religion or sexual orientation. Any person may, without being admitted to the University, enroll as a part-time, non-admitted student for a limited number of credits each term. Persons seeking admission to the University have the right to be admitted if they meet the admission standards established for the University by the Oregon State Board of Higher Education. However, regular or part-time enrollment in the University may be subject to limitations imposed by State Board directive. In addition, admission to the University does not automatically admit student to certain professional, graduate, and undergraduate programs which have special standards for admission and for evaluation of transfer credits, and which may restrict admission on the basis of available resources. To be eligible for continued enrollment in the University and for graduation from the University, students are responsible for meeting the University's published requirements for retention and graduation.

B. University Facilities and Services

All regular students have the right to make full use of the facilities and services of the University; there are, however, some limitations on the availability and use of University resources for part-time students. Definitions of regular and part-time students and a list of resources not available to part-time students appear in the University’s "Bulletin." Students are expected to use University facilities and services responsibly and with consideration for other members of the University community. Offices responsible for providing facilities and services will, upon request, furnish guidelines for their use.

SECTION II - STUDENT, FACULTY, STAFF RELATIONSHIPS

The relationship between students and faculty/staff is one which is based upon mutual respect. Students see faculty and staff in a variety of roles: teachers, counselors, librarians, administrators, advisors, supervisors, and colleagues.

In the Classroom

Student Rights

A student who enrolls in a course has the following rights:

a) to know from the instructor the goals and content of the course
b) to know from the beginning the instructor's expectations and grading methods
c) to be evaluated on the materials of the course and not on extraneous matters
d) to consult with the instructor outside the classroom on matter related to the course

Student Responsibilities
A student who enrolls in a course has responsibility to observe the standards of academic performance defined by the instructor and the standards of conduct established by the instructor so as to assure the freedom of the instructor to teach and the freedom of the other students to learn.

Outside the classroom
Students have a right to the services provided by both teaching and non-teaching faculty, as well as by classified staff, including such services as academic advising, counseling over a broad range of problem areas, dissemination of information, and clarification of University policies and procedures, including those involving grievances.

Protection Against Improper Disclosure
Students have a right to expect that information about themselves of a private, personal or confidential nature which they share with faculty and staff will be disclosed only according to student record rules. Faculty and staff may provide judgments of student's ability and character to other in appropriate circumstances, normally with the knowledge and consent of the student concerned, and in accordance with the University's rules on student records.

SECTION III - STUDENT RECORDS
Student Records Rules

The University has adopted rules which govern the form and variety of student records collected and maintained by the University, the nature of information collected, and the way in which student information is recorded, maintained and eventually disposed of, consistent with Chapter 34 of the Administrative Rules of the Oregon State Board of Higher Education, Section 351.065 of Oregon Revised Statutes and 20 United States Code 1232g and its implementing regulations. Copies of the rules are available in the offices of the Vice President for Student Affairs and the Registrar.

Students' Rights
The rules on student records also define the following rights of students with respect to their records and the procedures to be followed to guarantee those rights:

1. the right to inspect and review information contained in their educational records
2. the right to challenge the contents of their education records
3. the right to a hearing if the outcome of the challenge is unsatisfactory
4. the right to submit an explanatory statement for inclusion in the education record if the outcome of the hearing is unsatisfactory
5. the right to prevent disclosure, with certain exceptions, of personally identifiable information
6. the right to secure a copy of the University rules, which includes the location of all education records
7. the right to file complaints with the Department of Health, Education and Welfare, concerning alleged failures by the University to comply with applicable laws, rules and their implementing regulations.

Students' Responsibilities
Students are responsible for furnishing, completely and accurately, such pertinent information as required by the University so that it may perform its proper function as an educational institution. If students' circumstances change, e.g., name, address, financial situation, etc., they are responsible for seeing that proper University officials are informed of such changed circumstances.

SECTION IV - STUDENT AFFAIRS
Student affairs encompasses a broad area including the freedoms to form associations, to inquire and express opinions, to participate in institutional government, and to produce student publications.

A. Association
Students have the right to form organizations and to join associations to promote their common interests. In doing so, they have the responsibility to follow University policies and procedures, copies of which are available in the office of the Vice President for Student Affairs.

B. Inquiry and Expression
Students and student organizations have the right to examine and discuss all questions of interest to them, to express opinions publicly and privately, to support causes and to invite and hear any person of their own choosing. Such activities shall not disrupt the regular and essential operation of the University. Students and student organizations are responsible for following the policies and procedures related to these activities, copies of which are available in the Education Activities Office and the Scheduling Office.

C. Student Participation in Institutional Government
Students have the right to express their views by lawful procedures on issues of institutional policy and on matters of general interest to the student body and to participate in the formulation and application of institutional policy affecting academic and student affairs. Student government, the Associated Students of Portland State University (ASPSU) is the primary vehicle for student participation in institutional government, and its role is explicitly stated in its constitution and bylaws, copies of which are available in the student government office. Other opportunities for involvement in academic and student affairs areas may be found in the various departmental or administrative offices. Having become involved in institutional governance, students are responsible for fulfilling the obligations they have undertaken.

D. Student Publications
Students have the right to organize for the production of student publications as vehicles for free inquiry and free expression in the University community. They are responsible for producing publications which conform to the canons of responsible journalism, the laws respecting publications (libel, advertising, etc.), and policies and procedures for the establishment and maintenance of student publications as described in the Publication Board Charter and operational guidelines, copies of which are available in the office of the Executive Secretary of the Publications Board.

SECTION V - STUDENT CONDUCT

Students are members of both the University community and the larger community outside the University. As members of the University community, students are guaranteed those rights described in this document. As members of the larger community, students are afforded these rights guaranteed by the state and federal constitutions, the authority of which extends across both communities.

At the same time, both communities have established standards of conduct designed to protect their essential purposes. The University community has defined in its "Student Conduct Code" that conduct in which its members may not engage without penalty. The larger community has defined such behavior in its laws. Outlined below are the standards in disciplinary proceedings established by the University respecting student conduct which violates the norms of either the University or the larger community.

A. The University Community
The "Student Conduct Code" enumerates proscribed behavior and describes
procedures followed in cases where students are alleged to have engaged in such conduct. These procedures guarantee procedural due process to the accused students and are fully described in the "Student Conduct Code, copies of which are available in the office of the Vice President for Student Affairs.

B. The Larger Community
If a student’s behavior results in charges that both the law of the larger community and the prescriptions of the University's "Student Conduct Code" have been violated, the University does not waive the right to initiate proceedings in accordance with provisions of the "Student Conduct Code."

June 12, 1978

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Portland State University
Professional Standards of Conduct

PURPOSE
The purpose of this policy is to establish and clarify guidelines for the professional workplace conduct of faculty, staff, administrators, and students; and to provide direction to available resources.

DEFINITIONS
Definitions and descriptions of harassment contained in this policy are in addition to and do not supersede those found in Portland State University's equal opportunity policies, non-discrimination policy, sexual harassment policy, policies concerning people with disabilities, policies concerning veterans, or any other policy prohibiting harassment because of an individual’s membership in any protected class or grouping of people.

The harassing behavior may be physical, verbal, or nonverbal; and can be between individuals, or be a group targeting an individual, or be an individual targeting a group, and it can be between all types of employees.

Harassment, includes, but is not limited to: (a) verbal or physical conduct by an individual based on an individual's age, disability, national origin, race, color, marital status, religion, sex, veteran status, or sexual orientation that substantially interferes with or prevents a person from conducting his or her customary or usual affairs, puts that person in fear of his or her safety, or causes the person to suffer actual physical injury; (b) conduct less than a physical attack or interference with a person that is unsolicited and unwelcome, such as a verbal threatening action, which is intended to subject another person to offensive physical contact, physical injury, property damage, or cause physical impact, such as making verbal threatening phone calls, sending or posting (electronically or otherwise) threatening letters, or the vandalism or misappropriation of a person's property, or other such action(s) that unreasonably interfere(s) with normal function of, or participation in, a job, course of study, program or activity.

Threatening or violent behavior: (a) an act or conduct which subjects a person to bodily danger or physical harm or to the likelihood of bodily danger and physical harm; or (b) to require, authorize, or permit that a person be subjected to such conduct or act.

POLICY
It is the goal of Portland State University to maintain a safe, respectful, and productive environment for faculty, students, administrators, and staff. In light of this, harassment and threatening or violent behavior is prohibited. In addition, all persons should be acknowledged for their contributions to the University. In light of this, every effort will be made to create an institutional climate that values and supports the healthy and productive exchange of ideas, beliefs, and practices in a manner that treats everyone with respect, courtesy, and appreciation and where a diverse population can live and work in an atmosphere of tolerance and respect for the rights and dignity of each individual. All employees and students should expect to be treated professionally, respectfully, and with dignity.

It is the responsibility of every member of the
Portland State University community to conduct him or herself in accordance with this policy. Each department head, manager, supervisor, employee, faculty member, and student is responsible for creating and maintaining an atmosphere free from harassment, violence, and retaliation.

This policy is not intended to impose unnecessary rigidities on individual styles or on workplace or educational relationships and social interactions. Rather, it recognizes that people with different backgrounds, interests, and friendship groups must get along with each other. Legitimate disagreements and conflicts should be openly discussed in a respectful and productive manner in order to make this institution successful. Persons who experience harassment and threatening or violent behavior as described in this policy are encouraged to bring the matter to the attention of their chair, department head, supervisor, a union representative, or member of the interpersonal violence network who can then bring it to the attention of the human resources department, student affairs office, ombuds office, affirmative action office, office of academic affairs or the president’s office. Persons who experience such conduct may bring their concerns directly to the human resources department, student affairs office, ombuds office, affirmative action office, office of academic affairs or the president’s office. Upon receiving a complaint alleging a violation of this policy, the appropriate office will conduct a timely, fair and impartial investigation of the complaint. During the course of this investigation, the appropriate office will attempt to resolve the matter to the satisfaction of all the parties to the complaint. If the complaint cannot be resolved and a violation of this policy is established, the appropriate office will initiate the appropriate disciplinary processes. Failure to comply with this policy will result in disciplinary action(s) up to and including dissolution of any relationship with Portland State University.

RETAILIATION

Retaliation of any kind taken against anyone as a result of that person’s using, or attempting to uphold, this policy, and any subsequent procedures, or participating in any manner in any actions taken under this policy is prohibited and shall be regarded as a separate and distinct grievable matter. Anyone found to have retaliated against someone is subject to appropriate disciplinary or corrective action up to and including, but not limited to, dissolution of any relationship s/he may have with Portland State University.

REVIEW

The University’s Professional Standards Committee will review this policy after it has been in use for one year. The purpose of the review will be to make any changes necessary to improve its accessibility, coverage, efficiency, and high standards of fairness. The Professional Standards Committee includes one representative from each of the following areas: ombuds office, affirmative action office, academic affairs office, human resources department, American Association of University Professors (PSU chapter), American Federation of Teachers (local #3571), Oregon Public Employees Union (local #089).
APPENDIX C

PORTLAND STATE UNIVERSITY SEXUAL HARASSMENT POLICY

Responsible Office: AFFIRMATIVE ACTION

1. Policy
Sexual Harassment, in all its forms, is unethical behavior, disruptive of workplace and campus life, and inherently antithetical to the University’s mission, purpose and functioning. PSU administration, faculty, staff, and students are responsible for assuring that PSU maintains an environment for work, study, and the provision of services and activities that is free from sexual harassment. Sexual harassment is prohibited by Federal and State law, Oregon University System rules and policy, and is prohibited at Portland State University (PSU).

2. Definition
Sexual harassment is any unwelcome and unwanted sexual advance or request for sexual favor or other verbal or physical conduct of a sexual nature when:
A. Submission to such conduct is made either explicitly or implicitly a term or condition of an individual’s employment or participation in a sponsored educational program participation in services, or participation in sponsored activity; or
B. Submission to or rejection of such conduct is used either explicitly or implicitly as a basis for any decision affecting terms or conditions of an individual’s employment, participation in a sponsored educational program, participation in services, or participation in sponsored activity; or
C. Such conduct has the effect of unreasonably interfering with an individual’s work performance, receipt of services or academic activities, or creates an intimidating, hostile or offensive environment.

Sexual harassment can occur between any individuals associated with PSU, i.e., between an employee and a supervisor; between co-workers; between faculty members; between a faculty, staff or student and a customer, patient, vendor, or contractor; or between a student and a faculty member or another student. Sexual harassment can occur independent of the gender of the parties involved.

3. Examples of Sexual Harassment
Sexual harassment can encompass any sexual attention that is unwelcome and unwanted. Examples of verbal or physical conduct prohibited by this Policy include, but are not limited to:
1. A pattern of sexually charged conduct not legitimately related to the subject matter of a course that causes discomfort or embarrassment including:
   • comments of a sexual nature;
   • sexually explicit statements, questions, jokes, or anecdotes;
   • touching, patting, hugging, brushing against a person’s body, or repeated focused staring;
   • remarks about sexual activity, experience, or orientation; and/or
   • display of inappropriate sexually oriented materials in a location where others can see it;
2. Direct or implied threats that submission to sexual advances will be a condition of employment, work status, participation in activities, promotion, grades, assignments, or letters of recommendation; and
3. Physical sexual assault.

4. Reporting Sexual Harassment
PSU encourages anyone who believes that s/he has experienced or witnessed sexual harassment to come forward promptly. While sexual harassment concerns may sometimes be resolved by the person being harassed dealing directly with the alleged harasser, when such a course of action is not possible or appropriate, concerns or issues regarding sexual harassment should be brought to the attention of:
A. A supervisor or department head most directly concerned, excluding the person accused of the harassment;
B. Any academic or administrative official of PSU including but not limited to the president, a vice president, university counsel, the provost or a vice provost, a dean, a chair, or a director;
C. The Office of Affirmative Action;
D. Office of Student Affairs;
E. Members of the Sexual Harassment Resource Network;
F. Ombuds Office;  
G. Campus Public Safety.

Any Supervisor, Manager, Faculty Member, Sexual Harassment Resources Network Member, or other University Official who receives a report of sexual harassment shall promptly notify the Affirmative Action Office of the complaint. The Affirmative Action Office has primary responsibility for investigating and resolving reports of sexual harassment.

5. Options for Resolution
Individually who report concerns about sexual harassment will be advised of their options for resolution of the complaint. These options include:
A. Informal resolution of the complaint with the assistance of the Affirmative Action Office and, where appropriate, the individual(s) to whom the report was initially made; or  
B. Filing a formal grievance through the University’s grievance procedures.

6. Confidentiality
To the extent possible, PSU treats as confidential all information received in connection with reports of sexual harassment. It may become necessary, however, to disclose particulars during the course of an investigation or attempt at resolution. All individuals who participate in any procedure under this policy have an obligation to maintain the highest confidentiality of any of the matters discussed.

7. Non-Retaliation
Retaliation against an individual for reporting sexual harassment or for participating in an attempt at resolution, an investigation, or any activity under this policy is strictly prohibited. Any act of retaliation or reprisal violates this policy and will be treated as a separate matter.

Anyone found to have retaliated against anyone making use of this policy or any procedures related to this policy will be subject to appropriate disciplinary or corrective action(s), up to and including severance of any relationship with PSU.

8. False Complaints
It is a violation of this policy for anyone to make an intentionally false accusation of sexual harassment. Anyone who is found to have made an intentionally false accusation of sexual harassment will be subject to appropriate corrective and/or disciplinary action.

9. Corrective Action
Where sexual harassment is found, steps will be taken to ensure that the harassment is stopped immediately. Appropriate corrective measures will be implemented and may range from counseling, verbal or written reprimands, suspensions, or other action, up to and including dismissal, in accordance with established PSU policies and procedures. Matters involving students will be investigated by the Affirmative Action Office and findings will be forwarded to the Office of Student Affairs for processing under the Student Conduct Code.

Portland State University Office of Affirmative Action and Equal Opportunity  
Last Modified: October 02 2005.
APPENDIX D

PORTLAND STATE UNIVERSITY

POLICY CONCERNING CONSENSUAL RELATIONSHIPS

Definitions

Consensual Relationships: Relationships that are amorous, romantic or sexual in nature, legal within the state of Oregon, in which both parties are willing participants.

Instructor: All who teach at the University, who may be paid or volunteer employees of the University or of any University-affiliated, -supported or -sanctioned program, including faculty members, academic staff, administrative staff, other instructional personnel and undergraduate or graduate students or teaching assistants with teaching, advising, mentoring, or tutorial responsibility, and who are partly or wholly responsible for advising, evaluating or grading students’ performance.

Student: Any person studying with an instructor, where that instructor is partly or wholly responsible for evaluating or grading that student’s performance.

Supervisor: Any person who directly or indirectly controls or affects the terms and conditions of employment of other employees.

Supervisee: Any person whose terms and conditions of employment are directly or indirectly controlled or affected by a supervisor.

Rationale

It is a generally accepted principle, reflected in various nepotism policies, sexual harassment policies, and others, that anyone in a position of power or authority should avoid situations where he or she would make determinations or evaluations affecting the terms and conditions of employment or student status for relatives, family members, spouses or significant others with whom he or she has an intimate relationship. Such a relationship, combined with the power and responsibility of making such determinations or evaluations, is considered to be a conflict of interest.

Policy

The University recognizes that two consenting adults should be free to conduct a personal relationship if they so wish; however, if a consensual relationship should develop between an instructor or supervisor and a student or supervisee, where a power differential exist, the instructor or supervisor should report the matter, as soon as possible, to his or her immediate supervisor, i.e.; Department Chair, Professor in charge of the course, the unit supervisor, etc. This immediate supervisor, in consultation with the Director of Affirmative Action, will immediately make arrangements so that the official determination(s) affecting the terms and conditions of employment, study, or progress in a program of the person(s) involved in the consensual relationship can be carried out under the direction of a competent objective third party(s). This should be carried out in a manner that maintains the highest degree of confidentiality possible.

It should also be made clear that the instructor, mentor, tutor, or supervisor should not, thereafter, be allowed to have undirected responsibility for supervising, evaluating, or grading the consensual relationship partner’s performance. This is due to the possibility of residual feelings resulting from the consensual relationship, which could preclude impartiality.

All instructors, supervisors, students and supervisees should understand that these situations are of concern to Portland State University. It is the instructors and supervisors, who, by virtue of their special power and responsibility, will bear the burden of accountability in such cases. There are substantial risks in an apparently consensual relationship where a power differential exists, even if the conflict of interest issues are resolved, involving potential charges of sexual harassment and/or violations of University policy. Such consensual relationships have the potential for very serious consequences and should be avoided, where possible.

Where such relationships cannot be, or are not avoided, this policy mandates the declaration to and intervention by a supervising authority, for the
protection of both parties involved in the consensual relationship. Any instructor or supervisor who enters into such a relationship should be aware that liability protection under Oregon statutes may not apply in subsequent actions arising out of consensual relationship situations, where the instructor or supervisor failed to comply with this policy, and that failure to comply with this policy can lead to disciplinary action up to and including dismissal.

Portland State University Office of Affirmative Action and Equal Opportunity
Last Modified: April 24 2005.
APPENDIX E

POLICY ON ACADEMIC HONESTY AND INTEGRITY
School of Social Work, Portland State University

Significance

Students in the School of Social Work have a primary responsibility to maintain standards of academic honesty and integrity. This obligation is consistent with the NASW Code of Ethics’ (1996) ethical principle, “Social workers behave in a trustworthy manner”, which further specifies, “Social workers act honestly and responsibly and promote ethical practices on the part of organizations with which they are affiliated.”

(See the Code’s “Ethical Principles” section; a copy of the Code can be found in your program’s student handbook, or at http://www.socialworkers.org/pubs/code/default.asp. Also, see the NASW Research Web Page, which addresses ethics in research, at http://www.socialworkers.org/research/naswResearch/1006default.asp, and the National Statement on Research Integrity in Social Work, at www.cwse.org/CWSE/research/policies.

Expectations

Student Expectations

• Students are responsible for providing accurate and complete documentation to support their admission, course participation, and graduation.
• Students are responsible for reviewing each course syllabus, and adhering to course requirements specified in each syllabus.
• Students will follow all written and/or verbal instructions given by instructors prior to taking examinations, or completing written or oral assignments.
• Students will do their own work, and submit only their own work during examinations and in written and oral class assignments (unless it is a pre-authorized group project).
• Students will collaborate or cooperate with other students on graded assignments or examinations within the guidelines provided by the instructor.
• Students will properly credit the work of others; if they are uncertain how to cite or reference another author’s work in papers or presentations, they will consult the APA manual (American Psychological Association, 2001) and/or their instructor.
• Students will incorporate work (or portions of work) they completed in a previous class into a current class assignment only with the prior approval and direction of their instructor.
• Students will document field placement hours and activities honestly and accurately.
• If students have questions or confusions about course assignments, they are expected (and encouraged) to ask their instructors for clarification.

Faculty Expectations

• Faculty (or faculty representatives) will distribute materials on academic honesty and integrity to all entering students, and provide an overview of these materials at orientation.
• Faculty will include a written statement of expectations regarding academic honesty and integrity in each course syllabus.
• Faculty will clearly state expectations regarding academic honesty and integrity in each course.
• Faculty will clearly state the extent of collaboration allowed on each class project.
• Faculty will meet with any student who has questions or concerns about course assignments.

Forms of Academic Dishonesty

The Portland State Code of Student Conduct and Responsibility (see http://www.pdx.edu/media/c/o/CodeofConduct.doc), which applies to all Portland State students, prohibits all forms of academic dishonesty. These acts include, but are not limited to, the following:

Cheating. Cheating is using unauthorized materials, or providing them to others, during written or oral examinations or in the completion of course assignments. Examples include:
• Copying another student’s work during an examination (or allowing another student to copy one’s work)
• Taking another student’s examination (or having someone take an examination for you)
• Using unauthorized materials during an examination (or giving such materials to another student)
• Acquiring questions or answers from someone who has already taken the same examination (or providing such questions or answers to another student)
• Submitting another student’s or author’s writings for one’s own class assignment (including writings purchased on, or appropriated from, the Internet)
• Submitting a paper (or a portion of a paper) one has written previously for a current course assignment, without the current instructor’s permission.

Plagiarism. Plagiarism is appropriating words, ideas, data, or other product of another author or artist, and representing them as one’s own original work. (See “Avoiding Plagiarism”, below). Examples include:
• Improper quotation or paraphrasing
• Improper citation of quotation or paraphrasing
• Improper citation of a source that has not been read
• Complete or partial use of purchased or borrowed papers to complete assignments, without appropriate acknowledgement (including papers purchased on, or appropriated from, the Internet)
• Working jointly on a project with one or more others, and then submitting the project’s “product” as your own.

Buying, selling, or offering to sell, course assignments and research papers. This form of academic dishonesty can involve any of the following:
• Purchasing a paper on the Internet, with the intention of submitting it as your own coursework.
• Purchasing a paper (or other material, such as graphics or data displays) directly from another person, with the intention of submitting it as your own coursework.
• Selling, or offering to sell, papers or other materials to another student if you know, or have reason to know, that the student intends to submit all (or a substantial part) of the material as his or her own coursework.

Academic fraud. Academic fraud is furnishing false or incomplete information to a faculty member, or to a University administrator, with the intent to deceive. Examples include:
• Forging, altering, or misusing University documents or academic forms (admission forms, course forms, or graduation forms)
• Falsifying research data, or misrepresenting research findings
• Providing false explanations for class absences or late/missing assignments.

Computer Misuse. Computer misuse is using the University’s computer resources (or the computer resources of another institution or agency in which a student is performing part of his or her academic program) in a disruptive, unethical, or illegal manner. Examples include:
• Using University/institution/agency computers to threaten harm to others, stalk others, or harass others (sexually, or otherwise)
• Using University/institution/agency computers to view and/or use another person’s accounts, computer files, programs, or data without authorization
• Copying, storing, or sharing materials protected by copyright.

Avoiding Plagiarism

Plagiarism is taking the ideas, writings, or products of another person and presenting them as one’s own (Davis, 1993; Forsyth, 2003; Whitley & Keith-Spiegel, 2002). Social work students must be particularly careful to avoid using another author’s work without giving it proper citation (written credit). Examples include:
• Copying another’s work word for word (even a sentence, or a phrase)
• Copying most of another’s work and substituting just a few words
• Incorporating someone else’s phrases, terms, or ideas into your own writing without acknowledging his or her contribution.
In order to avoid plagiarism, one must be familiar with the concepts of quoting, paraphrasing, summarizing, and the citing of secondary sources:

**Quoting.** Direct quotes should be kept to a minimum, and used only for very important material. Quotes should be brief, and combined with paraphrases (see below) for clarity. Most quotes are incorporated in text and enclosed by double quotation marks; longer quotes are set off from the text as a freestanding block with no quotation marks. A quote must be matched to the original word for word, and attributed to the original author (citing author, year, and page number) (Purdue Online Writing Lab, 2006).

**Paraphrasing.** Paraphrasing is expressing another person’s (or persons’) ideas in your own words. A good paraphrase is generally shorter and clearer than the original statement. Like a quote, a paraphrase must be attributed to the original author or authors (citing author/authors and year) (Purdue Online Writing Lab, 2006).

**Summarizing.** Summarized material is an overview of the entire body (not just a segment) of the original source material, and is almost always shorter than the original. You must put the main ideas of the source material into your own words. Like a quote or a paraphrase, a summary must be attributed to the original author or authors (citing author/authors and year) (Purdue Online Writing Lab, 2006).

**Citing of Secondary Sources.** A primary source is a writer’s original product, reproduced in his or her own words. A secondary source is one which references or comments on a primary source. In scholarly works, primary sources should be sought out and cited whenever possible. If your only access to a primary source is through a secondary source, both the primary and secondary sources must be referenced. For example: Nelson (cited in Lane and Morgan, 2003) (Purdue Online Writing Lab, 2006).

**Consequences of Academic Dishonesty**

**Faculty/Advisor Roles**

If a faculty member suspects a student of academic dishonesty, the following steps may be taken:
- Contact the student to set an appointment to discuss the faculty member’s concern.
- Meet with the student, explain the concern, and listen to the student’s explanation.

If a faculty member determines that a student is guilty of academic dishonesty, one or more of the following steps may be taken:
- Assess the seriousness of the violation of academic honesty
- Ask the student to re-do the assignment in question
- If the violation is serious, or a pattern exists, give the student a “D” or “F” on the assignment in question.
- If the “D” or “F” results in the failure of a required course, document this in the student’s file and inform the student’s advisor of the reason for the grade.

If a faculty advisor is informed that a student is has received a “D” or “F” in a required course as a result of academic dishonesty, the following steps may be taken:
- Initiation of remediation procedures (this is automatic in the case of plagiarism)
- Initiation of a Retention Review (this is automatic if more than one incident of academic dishonesty occurs)
- Imposition of a period of academic disqualification (after which the student must petition for readmission).

In addition to the department-imposed academic consequences outlined above, students involved in violations of academic honesty may be subject to disciplinary sanctions as described in the University’s Code of Student Conduct and Responsibility. (See [http://www.pdx.edu/media/c/o/CodeofConduct.doc](http://www.pdx.edu/media/c/o/CodeofConduct.doc).)

Students dissatisfied with the process, or a final course grade resulting from the process, may initiate a grievance by contacting their academic program’s director (or, for the M.S.W. Program, the Chair of the Student Affairs Committee).

**References**

American Psychological Association (2001). *Publication manual of the American*
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Purdue University (n. d.). Purdue University online writing lab: Research skills and resources. Retrieved November 22, 2006 from http://owl.english.purdue.edu/handouts/re search.
APPENDIX F

Council on Social Work Education
National Statement on Research Integrity in Social Work

Background and Acknowledgements
The Council on Social Work Education (CSWE) managed the development of this National Statement and corresponding Action Plan for Research Integrity in Social Work with the crucial assistance of the social work education community. Over 50 social work deans, directors, faculty members, and doctoral students participated in a Symposium on the Responsible Conduct of Social Work Research at the 2006 Annual Program Meeting in Chicago. These participants provided guidance for the initial work for this project by outlining the pressing issues in social work research and the potential scope and purposes for this National Statement. Those convened included representatives from baccalaureate and graduate programs of various sizes and institutional settings from all ten CSWE regions. CSWE heavily relied on their analyses and recommendations for developing the subsequent National Statement and Action Plan. We are grateful for their work and insight.

In June 2006, a work group of social work researchers who participated in the Chicago Symposium collaborated with CSWE to focus on the outcomes from the Symposium and to develop the final National Statement and Action Plan. This work group included Lee Badger (Fordham University), Phyllis Black (Marywood University), Loretta Brewer (Arkansas State University), James Clark (University of Kentucky), Elizabeth Essex (Governors State University), Sheldon R.Gelman (Yeshiva University), Kay Hoffman (University of Kentucky), Dorothy Idleburg (Mississippi Valley State University), Robert Prue (University of Kansas), and Nancy Shore (University of New England). The group's efforts led to this National Statement on Research Integrity in Social Work and an Action Plan for Promoting Research Integrity in Social Work. CSWE is very appreciative to these ten scholars for their indispensable contributions to this project and for sharing their time and expertise with CSWE.

Most research activity is designed, generated, and managed in college and university settings. As the organization that serves social work educators and students, CSWE recognizes “research” as an integral dimension of its mission. The newly formed CSWE Office of Social Work Education and Research is committed to promoting research integrity in social work and to providing social work programs, deans, directors, faculty, and students with support in their research endeavors. The purpose of this National Statement is to provide broad guidance and education to social work researchers and should not be construed as an outline of rules to be enforced by CSWE.

The Council on Social Work Education is also especially thankful to the U.S. Department of Health and Human Services Office of Research Integrity (ORI) and the American Association of Medical Colleges (AAMC), which provided funding for this project.

Introduction

The Council on Social Work Education presents this National Statement on Research Integrity in Social Work as a way of assisting social workers in identifying the challenges of conducting ethically-responsible research.

Research activities are essential for the continued growth and improvement of the profession. Social work practitioners have a professional duty to provide clients with effective services, while social work researchers have an obligation to assist them in meeting that fiduciary responsibility. Social workers practice with individuals, families, groups, organizations, and communities in a wide range of settings. According to the National Association of Social Workers (NASW) Code of Ethics, a “historic and defining feature of social work is the profession’s focus on individual wellbeing in a social context and the well-being of society” (1996, p. 1). Well designed social work research can contribute significantly to the development and refinement of effective practice approaches at all levels and in all settings, as already evidenced by
important contributions in the domains of mental health, substance misuse, gerontology, and child welfare.

In this National Statement, research is defined as a systematic process of investigation and analysis that develops and promulgates generalizable knowledge to inform professional practice and social policy. Throughout the research process—which typically includes the conceptualization of a research idea, development of a viable design, purposeful selection and recruitment of study participants, implementation of the study in the field, data entry, analysis, and interpretation, and, finally, dissemination of research findings—there are numerous ethical considerations to be addressed and decisions to be made. Along with the ethical tensions inherent in the research process itself, researchers face a growing and complex set of laws and ethical regulations that they need to understand and follow.

Responsible Conduct of Research

The many domains of inquiry and the diverse settings that concern social work researchers require pluralistic strategies. Social work scholarship requires multidisciplinary approaches that span conceptual and methodological domains of great breadth. For example, the study of substance misuse in a community might require the researcher to have expertise in qualitative and quantitative methods, as well as to demonstrate proficiency in engaging community leaders and research participants. Other social work researchers engage in program evaluations, single-subject design, participatory action research, and secondary data analysis. Such research protocols make complex and varied ethical demands on the researchers.

Research should be conducted in accordance with the principles articulated in the Belmont Report (National Commission for the Protection of Human Subjects of Biomedical and Behavioral Research, 1979), NASW Code of Ethics (1996), the CSWE Educational Policy and Accreditation Standards (2001), and the other applicable organizational and governmental rules and regulations. Ethical research must account not only for design considerations, but also for process (e.g., gathering data, recruitment, informed consent, etc.) and outcome/impact of the research project (e.g., dissemination—including authorship, impact on best practices, impact on community, individual well-being, etc.).

To ensure the responsible conduct of research, social work researchers need to: (1) work to protect the people and communities whom they study; (2) ethically and effectively participate in mentoring relationships that are crucial to scientific activity; (3) manage apparent and implicit conflicts of interest and commitment; (4) collaborate ethically with researchers from other professions and disciplines; (5) ensure that research data issues are managed properly; (6) employ responsible publication and authorship practices; (7) responsibly conduct and contribute to the peer-review process; and (8) understand and prevent research misconduct (ORI, 2006). In the sections below we discuss each of these areas of concern and briefly discuss particular issues facing social work researchers.

1. Human Subjects and Communities

Social work researchers must strive not to harm the people or communities that they are studying. Research protocols should first ensure the protection of study participants, including consideration for the Basic Ethical Principles described in the Belmont Report. Respect for persons “incorporates at least two ethical convictions: first, that individuals should be treated as autonomous agents, and second, that persons with diminished autonomy are entitled to protection” (p. 4). Beneficence assures that persons are “treated in an ethical manner not only by respecting their decisions and protecting them from harm, but also by making efforts to secure their well-being” (pp. 4–5). Justice requires that the “selection of research subjects needs to be scrutinized in order to determine whether some classes (e.g., patients receiving government assistance, vulnerable racial and ethnic minorities, and institutionalized persons) are being systematically selected simply because of their easy availability, their compromised position, or their manipulability, rather than for reasons directly related to the problem being studied” (p. 6) (National Commission for the Protection of
Human Subjects of Biomedical and Behavioral Research, 1979).

Research involving vulnerable populations needs to assure that risk of harm is minimized and benefits from the research are equitably distributed. While designing protocols to protect vulnerable people and communities can be extremely challenging, total or arbitrary exclusion of vulnerable populations from research is detrimental to the people the profession serves and can sometimes constitute research misconduct. Social work research in developing countries poses additional and specialized ethical problems in human protection that deserve special consideration. Rather than avoiding these difficulties, researchers should work with their colleagues and the appropriate Institutional Review Boards (IRBs) to develop ways to ethically include vulnerable populations in research. Participation in research should be predicated on the potential participant’s understanding of the project, including obtaining informed consent. Finally, social work researchers should keep in mind that students involved as research participants are to be afforded the same protections as any other population.

Before beginning any research investigation, researchers should receive all necessary approval from the organizational regulatory bodies. The organizational regulatory bodies, such as the researcher’s Institutional Review Board, will provide another layer of protection for the participants and communities in research, by ensuring that pertinent laws and guidelines have been met by the protocol and that the research is ethical. Researchers should consult with colleagues and the Office of Research Integrity/IRB staffs in their institutions and universities if they have questions regarding regulatory bodies.

2. Mentor/Trainee Responsibility

Social work researchers have a responsibility to mentor trainees in a manner that enhances the professional development of the latter and advances the general progress of the profession. Mentoring junior researchers and trainees in social work research serves to instill the mentee with the ethics, techniques, and community of the profession (Vasgird & Hyman-Browne, n.d.). Social work’s commitment to advancing the careers of traditionally underrepresented and marginalized groups indicates a special commitment to mentoring trainees who often experience isolation and exaggerated expectations in academic and research settings. Senior researchers and mentors have a special responsibility to act ethically toward junior researchers and trainees by avoiding implicit and explicit exploitation. Mentoring relationships are complex; collaborative agreements that are developed early in the working relationship and that clearly delineate the rights and responsibilities of all parties can be very helpful in ensuring fair and just outcomes.

3. Conflicts of Interest and Commitment

Social work researchers are encouraged to develop relationships with public and private institutions. However, social work researchers should scrutinize their research endeavors and seek to avoid and eliminate any improper conflicts of interest that might result from their activities. These can involve tangible conflicts, such as untoward financial gain, but may also involve other and intangible forms of improper personal enhancement or advancement. Despite institutional pressures to attract high levels of external funding and to lead multiple projects, social work researchers should judiciously commit only to those projects and positions which they can reasonably undertake. The number and complexity of contemporary researchers’ roles make this a challenging domain of responsible conduct.

4. Collaborative Science

Contemporary social work research is rarely an individual enterprise. Multidisciplinary and community-based research are often required, especially for significant research investigations.
Social work researchers should engage in collaborative enterprises with other professions and disciplines to advance scientific knowledge. These efforts will require special attention and sensitivity to the ethos and cultures of those research partners. Social work researchers also should seek to clarify, and in many cases commit to a written agreement, issues pertaining to data ownership, authorship, project roles, and financial management.

As the growth of translational science continues, social work researchers will increasingly collaborate with communities. It is important that researchers work hard to understand and reasonably respond to local needs and expectations as research projects are designed, implemented, and published. This is especially challenging as social work researchers often collaborate with community members who come from very different backgrounds and have goals that are divergent from the researchers.

5. Data Acquisition, Management, Sharing, and Ownership

The rapid development of exciting technologies for data acquisition, analysis, and sharing create complex ethical challenges for social work researchers. Researchers need to consult and understand the regulations and obligations involved as they conduct research. The federal government and most other sponsors stipulate what these obligations shall be when a researcher is awarded a grant or contract. Universities also have policies and regulations in this domain which create obligations for researchers who are, in effect, agents of these academic institutions. The best strategy is to discuss the particular approaches the researcher will take with sponsors and their academic colleagues early in the life of the research project. It is important that the entire research team understands these issues as well, as they often intersect with more mundane personnel issues, for example, changing jobs or moving to a new institution.

6. Publication Practices and Responsible Authorship

An important part of social work research is the reporting of study results. Publication of research findings should include appropriate attribution of authorship. Authors and co-authors should be determined on the basis of the type and amount of work completed. There can be controversy over who should be included as an author, especially since being identified as an author or first author on a publication has implications for tenure, funding, and other professional opportunities; beginning discussions of authorship earlier in the research process can reduce confusion. Many universities, departments, peer-reviewed journals, and professional organizations have specific policies outlining the criteria for who qualifies as an “author” for a publication (Eisner, Vasgird, & Hyman-Browne, n.d.).

Social work researchers must never fabricate data or publish data that are known to be fabricated or otherwise compromised in nature or engage in plagiarism. All ideas and phrasing not originating with the author or co-author should be appropriately acknowledged in publication of results. Researchers should respect ethical obligations, regulations, and laws pertaining to intellectual property, copyright, and patents. Complex developments in technologies and regulations regarding data acquisition, management, sharing, and ownership demand special consideration. The emergent quality of these areas requires social work researchers to regularly study pertinent issues, problems, and solutions as they develop.

7. Peer Review

Peer review is critical for the advancement of science. Journals and federal- and private-granting organizations are reliant upon reviewers to ensure the quality of their publications and awards. Social work researchers should participate in the peer-review process in a fair, constructive, and rigorous manner. Additionally, peer review processes should be timely and protect the confidentiality of all participants. Social work researchers should identify all potential conflicts of interest and also strive to subordinate their personal preferences and biases to the higher purposes of advancing the profession, scientific activity, and the public welfare.
8. Research Misconduct

Consequences for engaging in research misconduct are varied but may include ineligibility for future grants, termination of positions, monetary penalties, or other penalties. Findings of research misconduct result in negative publicity for the researcher/research team and for the university. If the university is also implicated in misconduct (e.g., chronic nonresponsiveness of the IRB) sanctions may include the withdrawal of federal authorizations and funding for selected or for all federally-sponsored research. It is also important to note that local or state jurisdictions might impose criminal or civil penalties if such investigations reveal criminal misconduct or tortious behavior. Loss of personal integrity, moral authority, and community trust transcend the particular events associated with misconduct cases by destroying the relationships enjoyed by researchers and the wider community for years. In sum, research misconduct can be extraordinarily costly to all persons and organizations concerned. Consequences extend beyond issues of liability and damage to reputation, to include damage to: (1) relationships with the participating communities; (2) individuals involved in the work; and (3) professional integrity.

Undetected research misconduct can have even graver consequences, including the dissemination of practice technologies, programs, and social policies that have relied on unfounded or distorted scientific work. The result might be the waste of limited social resources, loss of life, or reduced personal well-being for clients and significant harm to the public welfare. Therefore, social work researchers have an obligation to work hard to prevent research misconduct, to report such misconduct when it occurs, and to support colleagues who attempt to do both despite the personal and professional risks involved.

A Call to the Profession for Greater Involvement in the Responsible Conduct of Research

In closing, we urge social work researchers to act with integrity not only to avoid trouble, but to do so in order to enhance the conduct of research. Social workers should join the work of the federal government and universities as the Office of Research Integrity and other bodies deliberate, design, and disseminate research regulations and policies. It is especially important to add the pragmatic voices of social work researchers who typically work outside of the traditional biomedical and laboratory sites that all too often are the contexts envisioned by such policy makers. Regulations should enhance the responsible conduct of research and should not make scientific work impossible. Social work researchers can provide crucial insights to such deliberations and should do so whenever possible in order to protect the interests of the profession, our clients, and the public.

Social work professors should join their local IRBs as full members and participate in the important work of protecting human subjects. Social work practitioners can also join IRBs as community volunteers and representatives—important positions that IRBs are required to fill on each committee. We also call on social work ethicists and researchers to advance the conceptual and empirical scholarship that can enrich the overall knowledge base important to the conduct of responsible research.

References


APPENDIX G

POLICY ON UNSATISFACTORY STUDENT PERFORMANCE
Master of Social Work and Ph.D. in Social Work and Social Research
Enacted June 8, 2001
Revised June 3, 2004
Revised June 5, 2008

School of Social Work
Portland State University

Rationale
The goal of the School of Social Work is to prepare students for the professional practice of social work. The School of Social Work has an interest, therefore, in its students’ academic performance, skills, and competencies for successful social work practice. The faculty of the School of Social Work has the responsibility for determining whether students have demonstrated the required level of achievement—performance, professional behavior in the classroom and field, and ethical conduct—sufficient to interact positively with client systems. It is the responsibility of the faculty to ensure that each person graduated from the School of Social Work has adequate skills, knowledge, and judgment to assume the responsibilities of professional social work. This policy identifies procedures for addressing unsatisfactory performance made by students.

Requirements for Satisfactory Performance
Advancement of students from one term to the next is contingent upon satisfactory performance each term. Advancement is based on each student demonstrating requisite knowledge, skills, judgment, and professional ethics to ensure that upon graduation the student is fully prepared for professional practice.

Advancement of students is contingent upon satisfactory performance in the above areas each term. Evaluation of student progress in classroom courses and in practicum is based on examinations and tests established by course and practicum instructors, and on skills, competencies, and professional behaviors, and appropriate student conduct.

Students must maintain satisfactory performance in the following areas:

Academic Performance
Students are expected to comply with all School of Social Work policies on grades for both classroom and field.

1. Students are expected to comply with all School of Social Work policies on grades for both classroom and field.
2. Students are expected to maintain good academic standing according to University guidelines.

Professional Competence in Classroom and Field
1. Students are expected to demonstrate professional oral and written communication skills.
2. Students are expected to synthesize and integrate classroom and field-based learning.
3. Students are expected to relate professionally with clients and client systems, colleagues, agency field instructors and staff, community systems, other systems, and faculty.
4. Students are expected to demonstrate a commitment to, and skill in, self-evaluation of practice.
5. Students are expected to respond to evaluative feedback with an acceptable level of change.

Student Conduct
1. Students are expected to demonstrate honesty and integrity in all aspects of their academic program by complying with Portland State University administrative Rules of Student Conduct and Standards of Conduct Regarding Alcohol and Drugs, and both the School of Social Work’s and PSU’s policies on Academic Honesty/Integrity and Sexual Harassment.
2. Students are expected to adhere to the Code of Ethics of the National Association of Social Workers.

Procedures in Response to Unsatisfactory Performance

1. Whenever possible, it is expected that the student and instructor or advisor will have attempted to resolve the concern informally.

2. Unsatisfactory performance as identified above that has not been resolved informally shall be responded to in one of two ways: (1) a Remediation Procedure in which a plan for remediation is developed and monitored; and/or (2) a Retention Review, in which a committee makes a decision regarding retention or dismissal of the student. The decision to invoke either the Remediation Procedure or a Retention Review is based on the nature and seriousness of the concern(s) and is at the discretion of the concerned instructor or advisor, with the exception of criteria for automatic initiation as listed below. The criteria and procedures for each response are provided below.

The following situations are subject to automatic initiation of the Remediation Procedure by the student’s advisor:

a) When a required course must be re-taken because of a grade less than B-

b) Academic probation.

c) If the student commits a violation of the NASW Code of Ethics including unethical conduct in a field placement

The following situations are subject to automatic initiation of the Retention Review by the student’s advisor:

a) If a plan for remediation has previously been in place and has not satisfactorily resolved the concern.

b) If the student refuses to participate in the development of a remediation plan or refuses to agree to a proposed plan for remediation.

Procedures for Addressing Unsatisfactory Performance

Remediation Procedures

1. Whenever an instructor or advisor has an ongoing concern regarding a student’s academic performance, professional competence in classroom or field, or student conduct, she or he shall notify the student and the student’s advisor in writing requesting a remediation meeting. The written request is expected to specify in what ways the student is failing to meet the School of Social Work’s performance standards. A copy of this notification will be sent to the M.S.W. or Ph.D. Program Director, the student, and placed in the student’s file. For M.S.W. students where appropriate, a copy will also be sent to the Director of Field Education or Director of the M.S.W. Distance Option.

2. The faculty member or field instructor shall meet with the student and the student’s advisor to discuss his or her concerns and develop a plan for remediation. If it is decided that the concern is so serious that a plan of remediation is inappropriate, the Retention Review procedure will be invoked. A copy of this notification will be sent to the M.S.W. or Ph.D. Program Director, the student, and placed in the student’s file. For M.S.W. students where appropriate, a copy will also be sent to the Director of Field Education or Director of the M.S.W. Distance Option.

3. When a plan for remediation is considered appropriate, the concerned instructor, student’s advisor and student will develop a written plan to remediate the concerns. In developing the plan, the student’s advisor will consult with all instructors with whom the student is currently enrolled. The plan will specify the concerns regarding unsatisfactory performance, the actions to be undertaken by the student, and the date by which the student must demonstrate the required level of expected skills and competencies.

The plan must allow a reasonable period of time for remediation but shall not allow more than one term beyond the term in which the plan is written, unless a course must be re-taken; then the course should be completed at
the next offering. Where the concern is related to performance in Field Education, if the period of time needed for remediation extends into the following term, the faculty liaison/advisor will assign a grade of Incomplete. Whenever possible the completion of the plan should take place within the academic year. If this is not possible, it is the responsibility of the student’s advisor to monitor the plan during the summer or identify another eligible faculty member to monitor the plan. The student, the instructor and the student’s advisor will sign the plan within five days of the remediation meeting. Copies of the plan shall be distributed to the student, instructor, student’s advisor, M.S.W. or Ph.D. Program Director, and the student’s file.

4. The advisor of record on the plan shall meet with the student to review the outcomes of the plan on or before the specified completion date. Whenever possible, this review should include the instructor who initiated the process. The student’s advisor will decide whether or not the student has successfully remediated the concern according to the plan and then send a written notice to the M.S.W. or Ph.D. Program Director.

If the plan has been deemed to alleviate the concern, the M.S.W. or Ph.D. Program Director will inform the student in writing and include a copy of the advisor’s report. Copies of these will be placed in the student’s file.

If the concern has not been deemed to be resolved, the M.S.W. or Ph.D. Program Director shall inform the student in writing, including a copy of the advisor’s report, notifying the student that a Retention Review will be invoked by his or her advisor. Copies of these documents will be placed in the student’s file.

Retention Review
1. The instructor referring the concern for a Retention Review shall notify the student and the student’s advisor in writing, specifying in what ways the student is failing to meet the School of Social Work’s performance standards and why that matter is appropriate for a Retention Review. A copy of this will be sent to the M.S.W. or Ph.D. Program Director and placed in the student’s file.

2. A Retention Review Committee shall be assembled and convened by the M.S.W. or Ph.D. Program Director. For students admitted to a single program, membership on the committee shall include the Ph.D. or M.S.W. Program Director, who will serve as the non-voting chair, and three faculty members. For students in the M.S.W. Program, the Director of Field Education and/or Director of the M.S.W. Distance Option may be invited to participate as non-voting members. For students admitted to the joint Ph.D./M.S.W. Program, the committee shall consist of the Ph.D. and the M.S.W. Program Directors who will co-chair the committee, and two additional faculty members, one representing the M.S.W. Program, and one the Ph.D. Program. One of the faculty members will be selected from a list submitted by the student of at least two eligible faculty members. If there is a conflict of interest on behalf of the Ph.D. or M.S.W. Program Director, another tenured faculty member will be appointed by the Associate Dean to assume the aforementioned responsibilities.

3. The Retention Review Committee will meet if at all possible within 15 working days from the date the concern is filed. In addition to the committee members, the student and the student’s advisor shall attend the meeting. The committee chair shall also invite all parties relevant to the concern. The student may invite any person(s) to speak on his or her behalf. The student will inform the chair in writing not less than 24 hours prior to the meeting who will be attending on his or her behalf.

4. The Retention Review Committee shall consider the concerns brought before them and the student’s response. The committee may choose to review the student’s academic file. At the conclusion of the presentations by the parties attending, the student will be asked if
s/he feels that School of Social Work policies have been followed and invited to share any additional information pertinent to the committee’s decision making process. The committee will then meet in private and make a recommendation that the concerns be resolved in one of four ways:

a. The Retention Review Committee may find that there are insufficient grounds for remediation or dismissal and recommend no action.

b. The Retention Review Committee may find there is sufficient evidence that the concern has been remediated and recommend no further action is necessary.

c. The Retention Review Committee may recommend the student remain in the program under conditions of remediation specified by the committee.

d. The Retention Review Committee may recommend that the student be dismissed from the Ph.D. or M.S.W. program.

5. After the committee’s deliberations, the student will be invited back to hear the outcome of the committee’s deliberations. The chair will send a letter to the student summarizing the decision and rationale within five academic days, with copies to the Dean, the Office of Graduate Studies, the student’s advisor, the student file, and if relevant, the Director of Field Education and/or Director of the M.S.W. Distance Option. The committee’s report shall be maintained in a sealed file and shall only be unsealed as provided by law.

6. If the student feels that School of Social Work policies were not followed, s/he may request a review of the retention review process. This request must be made in writing to the Chair of the M.S.W. Student Affairs Committee or the Director of the Ph.D Program, which ever is relevant, within ten working days after being informed of the Retention Review Committee’s decision at the conclusion of the committee meeting, as outlined in number 5 above. Within ten working days of receiving the request, the chair or director convenes the appropriate committee to consider the request and determine one of three possible recommendations:

a) The retention review process had no flaws;
b) The process had minor flaws but they did not affect the fairness of the outcome; or
c) The retention review process was not conducted fairly and the decision should be reconsidered.

The chair of the M.S.W. Student Affairs Committee or the Ph.D. Program Committee will inform the Dean in writing of the committee’s recommendation. The Dean will write to the student to inform her/him of the final decision.

7. Appeals of the Dean’s decision shall be submitted to the Vice Provost for Graduate Studies and Research under those policies outlined in the University Bulletin.
General Policy
(1) Portland State University seeks excellence in instruction, research, and public service. The University recognizes the intrinsic value of individual differences and diversity. The University supports the right of all people to live and learn in a safe and respectful environment that promotes the free and vigorous expression of ideas. Policies and procedures are designed to protect these freedoms and the fundamental rights of others. Students are expected to conduct themselves in a manner consistent with these principles.
(2) A student, Recognized Student Organization, or group of students whose conduct is determined incongruent with the standards of the University as described in this Code of Student Conduct and Responsibility ("Code") is subject to disciplinary action. The procedures for that action are generally educational in nature and are intended to lead to self-evaluation and accountability.
(3) The procedures of this Code consider each case individually and without prejudice.
(4) In addition to the regulations in this Code, all students must follow the academic and professional standards of all applicable academic units, departments, schools, and colleges.
(5) This Code becomes effective on September 28, 2009 and supersedes all other previous student conduct codes.
577-031-1030 Applicability
(1) This Code applies to any Student as defined in OAR 577-031-0131 (17)
(2) This Code applies to any Recognized Student Organization as defined in OAR 577-031-0131 (13) or other groups of Students.
Stat. Auth.: ORS Ch. 351
Stats. Implemented:
Hist.: PSU 1-1982, ef. & cert. ef. 4-22-82; PSU 2-2002, f. & cert. ef. 10-22-02; PSU 4-2006, f. & cert. ef. 8-22-06;
577-031-1330 Definitions
(1) The "Code" is this Code of Student Conduct and Responsibility, OAR Chapter 577, Division 31.
(2) A "Complainant" is any person submitting a written complaint to DOS alleging that a student(s), Recognized Student Organization or group has engaged in conduct proscribed by this Code.
(3) A "Complaint" is a Campus Public Safety Office Incident Report, Portland Police Bureau Report, Dean of Students Conduct Complaint Form, or Residence Life Incident Report.
(4) A "Conduct Record" includes, but is not limited to, incident reports, final reports, notification of allegation, disciplinary reports, informal discussion notes, formal hearing records and recommendations, decision statements, appeal records and decision, and related documentation and correspondence that may be covered by OAR 166-475-0110(38).
(5) A "Course Instructor" is any person employed by the University to conduct classroom activities or who has an official instructional function with the University.
(6) A "Day" is any business day in which the University is open. It does not include weekends, federal and state holidays or days in which the University is not open for business.
(7) The "Dean of Students" or "Dean" or "DOS" is the University Official holding this title. Any action required to be performed by the Dean under this Code may be performed by his or her designee.
(8) "Effective Consent" is a voluntary, non-coerced and mutually understandable communication indicating a willingness to participate in a particular act.
(9) A "Hearing Officer" is a University Official designated to adjudicate cases by the Senior Conduct Officer.
(10) A "Mental or physical impairment" is an impairment that causes a person to be unable to understand the situation, understand the consequences of his/her choices, or to express his/her desires. This may include, but is not limited to, being intoxicated, being under the influence of drugs, being unconscious, or other cognitive impairment
(11) A "Mental Disorder" is a diagnosable mental disease or disorder that limits a person's ability to make a knowing or voluntary decision.

(12) "Mental Incapacitation" is a condition that renders a person incapable of determining his or her own conduct at the time of the alleged offense because of the influence of a controlled or other intoxicating substance.

(13) A "Recognized Student Organization" is a group of five or more eligible students who have formed around a defined mission or purpose and who have been officially recognized by Student Activities and Leadership Programs or Campus Recreation.

(14) A "Respondent" is a Student who is alleged to have engaged in conduct proscribed by the Code.

(15) The "Senior Conduct Officer" is the University Official charged with the responsibility of administering the Code. Any action required to be performed under this Code by the Senior Conduct Officer may be performed by his or her designee.

(16) The "Student Conduct Committee" (the "Committee") is composed of faculty and staff appointed by the Faculty Senate of the University and students appointed by the President of the Associated Students of Portland State University.

(17) A "Student" is a person who: (a) is enrolled as a student and/or registered for one or more credit hours; (b) is enrolled in a special non-credit program approved by the University; or (c) was enrolled as a student within the last six months. A person who satisfies (a), (b), or (c) above is considered a "Student" for purposes of the Code as of the date that the person first submitted an application for admission, financial aid or any other service provided by the University that requires student status.

(18) A "University Official" is any person performing assigned administrative or professional responsibilities on behalf of the University.

(19) The "University Premises" are all lands, buildings, facilities, and other property owned, in the possession of, used, or controlled by the University.

(20) A "University Sponsored Activity" is any program or event hosted by a department, program, organization, or individual representing the University. Such activities include, but are not limited to, field trips, athletic events, education abroad, University exchange programs, and student organization-hosted programs or events.

(21) The "University" is Portland State University, or any part, program, department, or division within Portland State University.

General Statement of Authority

(1) The Senior Conduct Officer will maintain overall responsibility for developing and implementing policies for the administration of the Code and procedural rules for the conduct of hearings that are consistent with provisions of the Code and applicable law.

(2) The Senior Conduct Officer will review all complaints received by the Office of the Dean of Students, determine if they are reasonable, and assign them to the appropriate hearing body or University Official for adjudication.

Jurisdiction

(1) The provisions of OAR 577-031-0135 and OAR 577-031-0136 apply to all students and activities on University Premises; during any University Sponsored Activity regardless of location; and to off-campus conduct that has a rational nexus to the University and/or the pursuit of its objectives or that poses a potential threat to the University or any person associated with the University or substantially impacts any person’s ability to continue their University-related pursuits. Questions regarding jurisdiction will be resolved by the Senior Conduct Officer.

(2) Students participating in co-admission programs between Portland State University and other institutions will be accountable to conduct standards at Portland State University regardless of the standards applicable at the other institution and whether the other institution is or is not pursuing charges.

(3) Allegations of certain behavior may be adjudicated within the University's administrative conduct program as outlined in this Code as well as within any off-campus criminal justice system. Adjudication of allegations of student misconduct will occur expediently without regard to the status of any off-campus adjudication.
Conduct Proscribed by the State Board of Higher Education

The following constitutes conduct as proscribed by the State Board of Higher Education for which a student or Recognized Student Organization or group is subject to disciplinary action:

1. Obstruction or disruption of teaching, research, administration, disciplinary procedures or other University activities, including the University's public service functions or other authorized activities on University-owned or -controlled property.
2. Obstruction or disruption interfering with freedom of movement, either pedestrian or vehicular, on University-owned or -controlled property.
3. Possession or use of firearms, explosives, dangerous chemicals, or other dangerous weapons or instrumentalities on University-owned or -controlled property, unless expressly authorized by law, Board or PSU rules (for purposes of this section, absence of criminal penalties shall not be considered express authorization).
4. Detention or physical abuse of any person or conduct which is intended to threaten imminent bodily harm or endanger the health of any person on University-owned or -controlled property.
5. Malicious damage, misuse or theft of University property, or the property of any other person where such property is located on University-owned or controlled property, or, regardless of location, is in the care, custody or control of the University.
6. Refusal by any person while on University property to comply with an order of the President of the University, or appropriate authorized official or officials, to leave such premises because of conduct proscribed by the Code, when such conduct constitutes a danger to personal safety, property, or other appropriate University activities on such premises.
7. Unauthorized entry to or use of University facilities, including buildings and grounds.
8. Illegal use, possession or distribution of drugs on University-owned or -controlled property.
9. Inciting others to engage in any of the conduct or to perform any of the acts prohibited in this Code. Inciting means that advocacy of proscribed conduct that calls upon the person or persons addressed for imminent action, and is coupled with a reasonable apprehension of imminent danger to the functions and purposes of the University, including the safety of persons, and the protection of its property.
10. Violating the State Board of Higher Education's Policy for Intercollegiate Athletics as described in Section 8 of its Internal Management Directives, specifically including the subsection entitled Code of Ethics.

Conduct Proscribed by Portland State University

The following constitutes conduct proscribed by Portland State University for which a student or Recognized Student Organization or group is subject to disciplinary action:

1. Academic dishonesty. Academic dishonesty is the act of knowingly or intentionally seeking to claim credit for the work or effort of another person or participation in such acts. This includes, but is not limited to: (a) cheating, (b) fraud, (c) plagiarism, such as word for word copying, using borrowed words or phrases from original text into new patterns without attribution, or paraphrasing another writer's ideas; (d) The buying or selling of all or any portion of course assignments and research papers; (e) Performing academic assignments (including tests and examinations) for other persons; (f) Unauthorized disclosure or receipt of academic information; (g) Falsification of research data; and (h) Unauthorized collaboration.
2. Academic negligence. Academic negligence is unknowingly or unintentionally claiming credit for the work or effort of another person.
3. Furnishing false or misleading information to the University, including but not limited to knowingly failing to provide required information to the Course Instructor or University Official.
4. Forgery, alteration or unauthorized use of University documents, records, identification or resources.
5. Behavior that constitutes a possible threat to the health or safety of self or others.
6. Stalking. Stalking is repeatedly contacting another person without a legitimate purpose when: (a) The contacting person knows or should know that the contact is unwanted by the other person; and (b) It is
reasonable for the person in that situation to have been alarmed or coerced by the contact. As used in this subsection, "contacting" includes but is not limited to coming into the visual or physical presence of the other person; following another person; or sending written, electronic or telephonic communication of any form to the other person, personally or through a third party.

(7) Harassment. Harassment is a course of conduct directed at a specific individual or individuals that causes or is intended to cause significant emotional distress and serves no legitimate purpose.

(8) Sexual harassment. Sexual harassment is unwanted or unwelcome sexual advances or requests for sexual favors and other verbal or physical conduct of a sexual nature where: (a) submission or rejection of such conduct is made either explicitly or implicitly a term or condition of an individual's employment or participation in a University Sponsored Activity; (b) submission to or rejection of such conduct by an individual is used as a basis for academic or employment decisions affecting the individual; or (c) such conduct has the purpose or effect of unreasonably interfering with an individual's academic or work performance, or of creating an intimidating, hostile or offensive educational or working environment.

(9) Sexual misconduct. Sexual misconduct is sexual conduct, or the threat of such conduct, that is predatory in nature and that a reasonable person in the circumstances would consider offensive or likely to be harmful to others. Sexual misconduct may include, but is not limited to, the exposure of one's sexual organs or the display of sexual behavior.

(10) Sexual assault. Sexual assault is defined as unwanted sexual contact of any kind or threat of such contact or attempt to engage in such conduct. Sexual contact includes vaginal, oral or anal sex, touching the intimate parts of another person, or causing a person to touch the intimate parts of another person. Sexual conduct is "unwanted" if no Effective Consent is given or if the student knew or should have known that the person was incapable of giving Effective Consent by reason of mental or physical impairment, mental disorder, or mental incapacitation.

(11) Tampering with the election of any student, Recognized Student Organization or group.

(12) Hazing. Hazing is conduct which subjects a person to bodily danger, or physical, mental, or emotional harm, or to the likelihood of bodily danger or physical, mental, or emotional harm, or requiring, authorizing or permitting that the person be subjected to such conduct or act, for the purpose of initiation, admission into, affiliation with, or as a condition for continued membership in a student group or organization. The real or alleged participation in, consent to, or acquiescence in such conduct by a person subjected to hazing does not relieve an individual or group from responsibility for violating the Code.

(13) Violation of the University Alcohol and Other Drugs Policy or possession or consumption of alcohol beverages by persons under 21 years of age, or furnishing of alcoholic beverages to persons under 21 years, on University Premises or at University sponsored or supervised activities.

(14) Smoking in unauthorized areas.

(15) Public indecency, such as exposing the intimate parts while in a public place or a place visible from a public place.

(16) Failure to comply with a University Official's requests. Students and Recognized Student Organizations and groups are expected to comply with and respond appropriately to the lawful requests of University Officials made in the performance of their duties.

(17) Engaging in conduct that is contrary to any federal or state law or city or local ordinance when such violation interferes with, or is detrimental to, the mission of the University or interferes with other students' legitimate educational activities and interests. University disciplinary proceedings may be instituted against a student charged with conduct that potentially violates both the law and this Code without regard to the pendency of civil or criminal litigation or criminal arrest and prosecution. Determinations made or sanctions imposed under this Code are not subject to change merely because criminal charges arising out of the same facts are dismissed, reduced, or resolved in favor of or against an individual.

(18) Violation of any University rule, policy or Internal Management Directive (IMD), including but not limited to: Standards of Residence, PSU Housing Handbook, University Housing Office contracts, University Key Policy, and the University Computer and Acceptable Use Policy.

(19) Conviction of a felony or misdemeanor under circumstances where it is reasonable to conclude that the presence of the person at the University would constitute a danger to health, personal safety, or property.
(20) A violation of any sanctions imposed as a result of previous disciplinary proceedings under the Code.
(21) Abuse of the University conduct program as outlined in this Code, including but not limited to: (a) falsification, distortion or misrepresentation of information before any conduct body; (b) knowingly initiating any conduct proceedings without cause; (c) attempting to discourage an individual's participation in, or use of, any conduct system; or (d) influencing or attempting to influence another person to commit an abuse of any conduct system.
Stat. Auth.: ORS 351
Stats. Implemented: ORS 351.070
Hist.: PSU 2-2002, f. & cert. 10-22-02; PSU 4-2006, f. & cert. ef. 8-22-06

577-031-0137
Procedures for Complaints Against Recognized Student Organizations
(1) Complaints submitted to the Office of the Dean of Students (DOS) against a Recognized Student Organization may be referred to a Hearing Officer of the department or unit to which the group is most closely affiliated. The Hearing Officer will follow the procedures of the department or unit to which the complaint is referred.
(2) The president, principal officer, contact person(s), or other students designated by the Recognized Student Organization to act on behalf of the organization shall be given reasonable notice of the charges and be afforded all procedural rights in accordance with the provisions of this Code. The president, principal officer, contact person(s), or group agent shall be required to represent the group at all applicable stages of the judicial program. Failure to cooperate or appear and represent the organization will not delay the disposition of the matter.
Stat. Auth.: ORS 351
Stats. Implemented:

577-031-0138
Procedures for Complaints Against Students in University Housing
(1) Complaints alleging only a violation of the Housing Handbook will generally be heard by a Hearing Officer within Residence Life.
(2) Hearing Officer will follow the procedures outlined in the Housing Handbook.
Stat. Auth.: ORS 531

577-031-0139
Procedures for Emergency Action
(1) If the Dean of Students determines that a Student presents a significant risk of substantial harm to the health or safety of the Student or others, then the Dean may take such emergency action as is necessary to address the risk. Emergency action may include, but is not limited to: (a) immediate suspension of the Student; (b) exclusion from University Premises or any portion thereof; (c) loss of any of the privileges of being a Student; (d) mandating completion by the Student of an assessment by a qualified professional and compliance with the recommendations of the professional; or (e) any other action determined by the Dean to be reasonable due to the circumstances.
(2) All incidents in which emergency action is taken will be forwarded to the Senior Conduct Officer and follow the procedures outlined in OAR 577-031-0140. The emergency action will remain in effect until a final decision has been made about the Respondent. All incidents in which emergency action has been taken will be adjudicated as quickly as possible.
Stat. Auth.: ORS 531

577-031-0140
Procedures for Complaints Against Individuals
(1) Any person may submit a written complaint to DOS alleging that a student(s) or Recognized Student Organization or group has engaged in conduct proscribed by this Code. Any charge should be submitted as soon as possible after the event takes place, preferably within fourteen days of the event. The process cannot begin until the written complaint has been received.
(2) The Senior Conduct Officer will review all complaints received by the Office of the Dean of Students to determine if the complaint is reasonable. If the Senior Conduct Officer determines that there are not reasonable grounds for the complaint, the complaint will be dismissed and no record will be kept. If there are reasonable grounds for the complaint the process will proceed as outlined below.
(3) Within a reasonable time from the receipt of a complaint, the Senior Conduct Officer will send written notice to the Respondent(s) (with reference to the specific section of this Code allegedly violated). This notice will advise the Respondent of the allegations and request a meeting to investigate the matter. If the Respondent fails to attend the initial meeting, the complaint will be adjudicated and the Respondent will be sent written notice of the outcome.
the Appeal Process.

(4) During the initial meeting, the Senior Conduct Officer will review the complaint with the Respondent and determine which hearing body will hear the complaint. (5) If the Senior Conduct Officer hears the case, the Respondent will be given an opportunity to explain the alleged behavior and will be informed of the information supporting the charge. All hearings are closed and information presented and supporting documents are confidential except as required by law. The hearing is informal and does not follow administrative contested case or courtroom procedures. (a) If the Respondent fails to attend the meeting, the Senior Conduct Officer will decide the matter in the Respondent's absence. Failure to cooperate or appear will not delay the disposition of the matter. (b) The Respondent may bring up to two (2) third party advisors of his/her choice to the hearing as long as the availability of the advisor does not interfere with the timeliness of the hearing. The Respondent will be expected to speak for him or her self at all times and may only use the advisor for consultation or support. The Respondent may elect to have an attorney serve as an advisor. The Respondent must notify the Office of the Dean of Students at least 24 hours prior to the scheduled meeting if his or her attorney will be present. The University assumes no responsibility for any costs associated with such representation. (c) The Respondent has the opportunity to offer information on his or her behalf and to review and respond to all information presented. (d) The Senior Conduct Officer may ask questions and comments from advisors or others present. (e) If the Senior Conduct Officer decides an essential person or piece of information is missing, the Senior Conduct Officer may decide to reconvene the hearing at the earliest practical time that the missing information will be available. (f) The Senior Conduct Officer will determine, based upon a preponderance of the evidence (which means whether something is "more likely than not"), whether a Code violation exists, and, if so, what sanctions are to be imposed. Once that determination is made, the Senior Conduct Officer will send written notice to the Respondent articulating the determination of responsible or not for the alleged violation(s), subsequent sanction(s), if any are imposed, and information about the Appeal Process.

(6) If the Student Conduct Committee (the Committee) hears the case, the Committee Chairperson facilitates the hearing procedures and has voting power in the case of a tie. The Senior Conduct Officer serves as an ex-officio consultant and ensures administrative support of the process. All Committee hearings are closed and information presented and supporting documents are confidential except as required by law. The hearing is informal and does not follow administrative contested case or courtroom procedures. (a) If the Respondent fails to attend the meeting, the Committee will proceed with the hearing in the Respondent’s absence. Failure to cooperate or appear will not delay the disposition of the matter. (b) The Respondent may bring up to two (2) third party advisors of his/her choice to the hearing as long as the availability of the advisor does not interfere with the timeliness of the hearing. The Respondent will be expected to speak for him or her self at all times and may only use the advisor for consultation or support. The Respondent may elect to have an attorney serve as an advisor. The Respondent must notify the Office of the Dean of Students at least 24 hours prior to the scheduled meeting if his or her attorney will be present. The University assumes no responsibility for any costs associated with such representation. (c) The Respondent has the opportunity to offer information on his or her behalf and to review and respond to all information presented. (d) Members of the Committee may ask questions of any person present during the hearing. The Chairperson may invite questions and comments from advisors or others present. If the Chairperson decides an essential person or piece of information is missing, the Chairperson may decide to reconvene the hearing at the earliest practical time that the missing information will be available. (e) After the Chairperson has determined that all the necessary information has been presented and questions answered, the Committee goes into executive session and all persons are excused. The Committee is to determine, based on a preponderance of evidence (which means whether something is “more likely than not”), whether a Code violation exists, and, if so, what sanctions are to be imposed. Once that determination is made, the Committee will send written notice to the Respondent articulating the determination of responsible or not for the alleged violation(s), subsequent sanction(s), if any are imposed, and information about the Appeal Process. (7) The hearing process will make an effort to consider the rights and needs of the Complainant in decisions related to sanctions such as restitution. (8) Appeals of the decision of the Senior Conduct Officer or of the Committee must follow the process outlined in OAR 577-031-0144. If no appeal is filed, sanctions will take effect upon expiration of the time period allocated for appeal. If an appeal is filed, the
imposition of sanctions are stayed pending resolution of the appeal.
(9) Except as limited by the Dean pursuant to OAR 577-031-0139, the Respondent is entitled to all rights and privileges of a student in good standing pending resolution of the matter.

Stat. Auth: ORS 351
Stats. Implemented:
Hist.: PSU 1-1982, £ & ef. 4-22-82; PSU 4-1987, £ 9-30-87, ef. 10-1-87; PSU 2-1988(Temp), £ & cert. ef. 3-15-88; PSU 4-1988, £ & cert. ef. 6-16-88; PSU 1-1994, £ & cert. ef. 1-10-94; PSU 2-2002, f. & cert. ef. 10-22-02; PSU 4-2006, f. & cert. ef. 8-22-06; PSU 1-2007, f. & cert. ef. 1-5-07

577-031-0141
Procedures for Matters involving Allegations of Sexual Offenses
As required by the Jeanne Cleary Disclosure of Campus Security Policy and Campus Crime Statistics Act, 20 USC 1092(f), if a Complaint alleges facts that would, if proven, constitute a sex offense for purposes of the Cleary Act, then: (a) The Complainant may be present during the proceedings (including any appeal) and is entitled to the same opportunities as provided to the Respondent to have other present during the proceedings; and (b) the Complainant is to be informed of the final determination with respect to the alleged offense and any sanction imposed against the Respondent.

Stat. Auth.: ORS 351
Stats. Implemented: ORS 351.070
Hist.: PSU 2-2002, f. & cert. ef. 10-22-02; PSU 4-2006, f. & cert. ef. 8-22-06

577-031-0142
Procedures for Complaints of Academic Dishonesty
(1) Course Instructors have the primary responsibility and purview to respond to academic dishonesty with students enrolled in their respective courses. Course Instructors may issue a zero or a failing grade for the assignment for which the dishonesty was found. Course Instructors may not issue a failing grade for the course unless a failing grade on the assignment in question results in a failing grade for the course, per the syllabus. Instructors may not disenroll a student from a course.
(2) Departments, programs, colleges, or schools may also address academic dishonesty in accordance with their respective policies and procedures. These entities are limited to the following academic sanctions: (a) Issuing a zero or a failing grade for the assignment for which the dishonesty was found; or (b) Suspension or Expulsion from the department, program, college or school per the process proscribed by the respective entity.
(3) Any person may submit a written complaint to DOS alleging that a student(s) has engaged in academic dishonesty. Any charge should be submitted as soon as possible after the activity takes place, preferably within fourteen days of such activity.
(4) If the complaint is submitted by anyone other than the Course Instructor, the complaint is also referred to the Course Instructor in which the alleged academic dishonesty occurred.
(5) Faculty submitting a complaint alleging academic dishonesty will be notified of the outcome of this complaint upon request.

Stat. Auth.: ORS 351
Stats. Implemented: ORS 351.070
Hist.: PSU 2-2002, f. & cert. ef. 10-22-02; PSU 4-2006, f. & cert. ef. 8-22-06

577-031-0143
Appeals
(1) Appeals from the decision of the Senior Conduct Officer or the Committee shall be made to the Vice Provost for Student Affairs, whose decision is final.
(2) Appeals must be in writing and filed with the Vice Provost for Student Affairs within ten (10) working days following the date of the letter notifying the Respondent of the outcome of the hearing.
(3) The request for an appeal must include specific justification, such as: errors, failure to consider all of the evidence presented, or any other action, including any new evidence not known at the time of the original hearing, which denied the student a fair hearing.
(4) During the appeal hearing, the Respondent may bring up to two (2) third party advisors of his/her choice as long as the availability of the advisor does not interfere with the timeliness of the hearing. The Respondent will be expected to speak for himself or herself at the hearing. The Respondent may elect to have an attorney serve as an advisor. The Respondent must notify the Vice Provost of Student Affairs at least 24 hours prior to the scheduled meeting if his or her attorney will be present. The University assumes no responsibility for any costs associated with such representation.
(5) The Vice Provost of Student Affairs may dismiss the appeal if the Respondent fails to appear at the appeal hearing.
(6) During the appeals hearing:
(a) The Senior Conduct Officer or the Chair of the Committee will have the opportunity to offer
information and to review and respond to all
information presented;
(b) The Respondent will have the
opportunity to offer information and to
review and respond to all information
presented;
(c) The Vice Provost of Student Affairs may
ask questions of any person present during the
hearing. The Vice Provost of Student Affairs may invite questions and comments
from advisors or others present. No person
other than the Vice Provost for Student Affairs may ask questions of persons present
at the hearing.
(d) If the Vice Provost of Student Affairs
decides an essential person or piece of
information is missing, the Vice Provost of
Student Affairs may decide to reconvene the
hearing at the earliest practical time that the
missing information will be available.
(7) After the Vice Provost of Student Affairs
has determined that all the necessary
information has been presented and
questions answered, the appeals hearing will
be closed. The Vice Provost of Student Affairs will determine, based on a
preponderance of evidence, whether or not
the appeal is warranted, and, if so, what
subsequent actions may be appropriate.
(8) The Vice Provost of Student Affairs' decision will be in writing to the student
with copies to the Senior Conduct Officer
and/or Chair of the Committee.
(9) Pending resolution of an appeal, the
student is entitled to all rights and privileges
of a student in good standing except as
provided in OAR 577-031-0139.
Stat. Auth.: ORS 351
Stats. Implemented: ORS 351.070
Hist.: PSU 2-2002, f. & cert. ef. 10-22-02;
PSU 4-2006, f. & cert. ef. 8-22-06

577-031-0144
Fees
(1) A Student or Recognized Student
Organization or group that has been
determined to have violated the Code will be
assessed a fee as provided in this rule. In
incidents involving more than one violation,
a fee will be assessed for the highest level
offense only.
(2) The amount of the fee will be determined
by the nature of the offense, as follows:
(a) For a Low Level Offense, the first
violation will result in a $10 fee, a second
violation of the same or similar nature will
result in a $20 fee, and the fee will increase
by an additional $10 for each subsequent violation of the same or similar nature.
(b) For a Mid Level Offense, the first violation will
result in a $20 fee, a second violation of the same or similar nature will result in a $40 fee, and the fee will increase by an additional $20 for each subsequent violation of the same or similar nature.
(c) For a High Level Offense, the first violation will
result in a $75 fee, a second violation of the same or similar nature will result in a $100 fee, and the fee will increase by an additional $25 for each subsequent violation of the same or similar nature.
(d) For a Drug or Alcohol Offense, the first violation will
result in a $50 fee, a second violation of the same or similar nature will result in a $75 fee, and the fee will increase by an additional $25 for each subsequent violation of the same or similar nature.
(3) The following definitions apply to this rule:
(a) A “Low Level Offense” is any of the following:
(i) any violation of the Housing Handbook that is not
a High Level Offense or a Drug or Alcohol Offense,
unless the offense endangered the health or safety of
the Student or others, (ii) Academic Negligence, or
(iii) a violation based solely on the use of University
computer resources that is alleged to have violated
intellectual property rights.
(b) A “Mid Level Offense” is any offense that is not a
Low Level Offense, High Level Offense or Drug or
Alcohol Offense.
(c) A “High Level Offense” is any of the following:
(i) any offense that involved firearms or weapons, (ii)
any offense that resulted in physical injury to another,
(iii) Sexual Misconduct, (iv) Sexual Assault, (v)
Hazing, or (vi) any offense in which the sanction
imposed includes suspension, expulsion or negative
notation on transcript.
(d) A “Drug or Alcohol Offense” is any offense, that
is not a High Level Offense, that included the use or
possession of drugs or alcohol in violation of the
Code.
(4) The Senior Conduct Officer may waive the
imposition of a fee in unique and compelling
circumstances.
(5) All fees will be assessed to the University account
of the responsible Student or Recognized Student
Organization or group.
Stat. Auth.: ORS 351

577-031-0145
Sanctions
Students or student groups and organizations whose
behavior violates this Code may be subject to one or
more sanctions, including, but not limited to:
(1) Mediation. Participation in a facilitated discussion
with the Complainant.
(2) Assessments. Completion of an evaluation(s) and
following the recommendations of a qualified
professional for treatment and/or education.
(3) Restitution. Those responsible may be required to make monetary restitution, return any stolen or misappropriated property, or provide services to the University or a Member of the University Community in accordance with the nature of the violation and in an amount not to exceed the actual expenses, damages, or losses incurred.

(4) Educational Assignment. Complete specific assignments or render a designated number of hours of specified service to the University or the community.

(5) Reprimand. Written notice that the conduct in which the student(s) engaged is inconsistent with the requirements of the Code and that the student is reprimanded for that conduct. Such notice will also indicate that future violations of the Code may result in the imposition of additional sanctions.

(6) Disciplinary Probation. Constitutes a period of time during which additional violations of the Code will result in sanctions of increased severity. Upon expiration of the period of probation and fulfillment of other sanctions imposed, if any, the student's disciplinary probation will be lifted.

(7) Social Probation. Establishes a fixed period of time, not less than one term, in which a student/organization may not be permitted to represent the University or participate in any University, extracurricular, athletic, or other activities. The specifics of the social probation will vary based upon the violation and the individual student's/organization's circumstances. For example, a student may be restricted and allowed to participate only in activities directly related to academic pursuits and only be permitted to enter buildings necessary for the completion of academic requirements. Students/organizations on social probation may be restricted from attending or purchasing tickets for certain events sponsored by the University including, but not limited to, athletic events, concerts, extracurricular programs, intramurals, off-campus trips, etc.

(8) No Contact. An order of "no contact" with another student, faculty member, staff or University Official. In this case, students may be required to organize their on-campus activities in order to avoid contact with designated individuals.

(9) Registration Hold. Students who do not complete assigned sanctions within the time provided may be prevented from registering for classes until completion of those sanctions.

(10) Exclusion from the University Premises or any portion thereof.

(11) Suspension. Loss of the right to be a student at the University for a specific period of time. Suspended students are not eligible for the privileges and services provided to currently enrolled students, including but not limited to residing in University-owned student housing, registering, attending class, or using other University services or facilities. The suspension may be specified for any length of time.

(a) If a student is suspended, fees will be refunded in accordance with the refund schedule adopted by the Oregon State Board of Higher Education. (b) The conditions of suspension take effect immediately after the student has been informed of the decision and the time limit for an appeal has expired. If an appeal is filed, the imposition of the suspension will be stayed until the conclusion of the appeal process. If the pending conduct hearing or appeal may result in suspension, award of the academic degree sought will be postponed pending the outcome of the hearing. (c) Upon expiration of the period of suspension the student must submit in writing to the Senior Conduct Officer a request for the suspension to be lifted. The request should include a description of the student's activities since the suspension went into effect. If the Senior Conduct Officer certifies that all the terms of the suspension have been met and the suspension lifted, the student may register for courses through the regular process, contingent on the completion and/or satisfaction of all sanctions and satisfaction of general admission and registration requirements. (d) A notation of "Disciplinary Suspension" is entered on the student's transcript for the duration of the suspension. After the suspension period is complete and all other conditions, if any, have been satisfied, the Senior Conduct Officer will notify the Registrar's Office to lift the Registration Hold, and the notation will be removed from the transcript.

(12) Negative Notation on Transcript. Entry of information onto the student's permanent academic record regarding his or her violation of the Code and subsequent sanction. The entry may be permanent or temporary. If the notation is temporary, after the expiration of the period of time specified, the notation will be removed upon written request by the student to DOS. If the notation is permanent, "Permanent Negative Notation" on transcript will remain on the Respondent's transcript indefinitely.

(13) Expulsion. Permanent suspension from the University. A permanent notation is entered on the transcript: "Permanently expelled for [conduct or academic dishonesty] effective [date]".

(14) Degree Revocation. A former student may have his/her degree revoked if the student is found to have engaged in conduct leading to a degree that, if known
at the time the degree was awarded, would have made the student unqualified for the program or degree.
Stat. Auth.: OR 351
Stats. Implemented:
Hist.: PSU 1-1982 f & ef 4-22-82; PSU 4-1987, f 9-30-87, ef 10-1-87; PSU 1-1994, f & cert. ef 1-10-94; PSU 2-2002, f & cert. ef. 10-22-02; PSU 4-2006, f. & cert. ef. 8-22-06

577-031-0146
Types of Sanctions for Recognized Student Organization or Group Conduct
A Recognized Student Organization or group is subject to the appropriate disciplinary sanctions outlined in OAR 577-031-0145, including the temporary or permanent suspension of the organization or group’s official University recognition.
Stat. Auth.: ORS 351
Stats. Implemented: ORS 351.070
Hist.: PSU 2-2002, f. & cert. ef. 10-22-02; PSU 4-2006, f. & cert. ef. 8-22-06

577-031-0147
Records
(1) All complaints involve the creation of a conduct record for the student or organization or group alleged to have violated the Code. These records are confidential and accessible only to the Respondent and appropriate University Officials and other entities as required by law.
(2) An Expulsion will be permanently noted in a student's general academic record maintained by the Office of Admissions, Records and Registration by means of a notation, which indicates the reason for the action. The student may include in the record a response to the action taken by the University.
(3) A Suspension will be noted in a student's general academic record maintained by the Office of Admissions, Records and Registration by means of a notation, which indicates the reason for the action until the Suspension is lifted.
(4) All files and records are kept in accordance with OAR 166-475-0110 (38).
Stat. Auth.: ORS 351
Stats. Implemented: ORS 351.070
Hist.: PSU 2-2002, f. & cert. ef. 10-22-02; PSU 4-2006, f. & cert. ef. 8-22-06

577-031-0148
Interpretation and Revision
APPENDIX I

Portland State University
Drug Free Workplace Policy

Federal regulation makes it essential for Portland State University to clearly articulate a policy concerning drugs in the work place. That which follows is a statement of the institution's current policy:

Standard of Conduct
(Faculty, Staff and Student Employees)

Portland State University is committed to maintaining a drug free institution. The unlawful manufacture, distribution, dispersal, possession, or use of illicit drugs by University employees in the work place is prohibited. A student or any employee convicted of violating a criminal drug statute in the work place must notify his or her supervisor no later than five days after such conviction. The supervisor will immediately notify the Provost, in writing, of this reported conviction.

The possession or use of alcohol in the work place is likewise prohibited except for its (moderate) use at University sanctioned events where the serving of alcohol has been approved. Impairment in the institution due to the use of alcohol is prohibited.

This policy applies to all University students and employees, including employed students.

Sanctions for Violation

In addition to any penalties under federal law, employees found to be in violation of this policy may be subject to disciplinary sanctions consistent with applicable provisions of state laws and regulations (Oregon State Board of Higher Education administrative rules, including the PSU Student Conduct Code, applicable collective bargaining agreements, and applicable University rules and directives). If imposed, sanctions will include appropriate action up to and including expulsion and/or termination of employment and referral for prosecution, and may require participation in an approved drug and/or alcohol abuse assistance or rehabilitation program.

Any student who has personal concerns about the use or abuse of alcohol is urged to contact Student Health and Counseling Services (SHAC) located at 1880 SW 6th Ave, 503-725-2800. Various forms of help from informational pamphlets and presentations to assessment, consultation and referral for treatment are available on a strictly confidential basis.

12/06
APPENDIX J

INTERNAL SAFETY ISSUES
POLICY STATEMENT

Safety is a priority at the School of Social Work. This means that concerns about safety are taken seriously. If any person believes there is an immediate threat to safety, the Campus Public Safety Office should be contacted. Call 503-725-4404 or 911.

In other issues of safety, including actions or behaviors that raise concern, faculty, staff, or students will consult with the appropriate program director and weigh the matter within the parameters of professional behavior and ethics as well as student conduct, if appropriate.

Options for decision-making around safety concerns with respect to student behavior could be remediation or retention hearings as defined in the student handbooks, or other alternatives as required depending on the particular circumstances of the situation. OUS employees are subject to Oregon Administrative Rules.

The assistance of School and University resources may be needed when safety is a concern. The School resources include but are not limited to: the student handbooks of the School of Social Work, the NASW Code of Ethics, other faculty, a student’s advisor, the Ph.D. Committee, the M.S.W. Student Affairs Committee of the School of Social Work, the BASW Committee, and the Child and Family Studies Committee. PSU resources include the PSU Student Conduct Code, Campus Public Safety, Student Health and Counseling, and the University Students of Concern Committee.

Other Safety Measures

Visitors to the School of Social Work or any program of the school may be asked to sign in at the reception/front desk. Students and employees of Portland State University are expected to have PSU identification if requested. Please take time to look at Portland State University’s Campus Public Safety Office Website at www.pdx.edu/psualert. If you click on PSU Alert Notification System, you will find information about the 3n system for emergency notification. The School of Social Work recommends that all faculty, students, and staff consider joining this system in order to be made aware of campus emergencies. (Approved by the SSW faculty 6/6/08).
APPENDIX K

SCHOOL OF SOCIAL WORK STAFF VALUES

Background. Administrative staff at the School worked together to develop a statement of principles to guide interactions among staff, students, faculty and others. The statement is posted in the School’s main lobby, and it was presented to the Faculty. SSW Faculty decided to adopt the statement and to strive to live up to its principles.

We treat each other with kindness, respect, consideration, thoughtfulness and dignity.

We will not tolerate behavior that makes any person feel unsafe, including any discrimination against race, religion, ability, sexual orientation or gender expression or any oppression. We will gently and respectfully interrupt any form of discrimination. We will listen, grow, change and stay committed to one another and the process of learning.

We will make mistakes, but we stay committed to not making the same mistakes over. We will be accountable for our actions, saying we are sorry when it is needed, and finding the tools to be good supports and allies to each other. We will communicate the work we are doing to be good allies when needed.

We will take time with one another and listen to understand. We will support the voices and leadership of others.

We remain committed to the ongoing work and self awareness necessary to advocate for equity, social justice, and the right for all people to have an opportunity to thrive. We realize this work never really ends and we are all always learning.

We will bring solutions to the table, not just problems. We will be part of the solutions.

SCHOOL OF SOCIAL WORK

FACULTY SOCIAL JUSTICE ACTION PLAN

Faculty Action Plan Regarding Social Justice, Inclusion and Diversity
Passed April 17, 2009

1. Continuing the work: The faculty wants to remain active and move towards our commitments to Diversity, Inclusion and Social Justice.

   a. Formalize the work through a new standing committee that will oversee the implementation and annual updating of the action plan.

   b. Those interested could pilot a personalized action plan that sets specific goals to enact commitments to Social Justice, Inclusion and Diversity.

2. Improving our culture of respect within the faculty

   a. Create a statement of values/principles that guides our interactions (similar to that created by the SSW staff).

   b. Create opportunities for faculty to share openly with one another about struggles, conflict and issues of equity in order to build understanding and respect for one another.

3. Strengthening teaching: Social Justice, Inclusion and Diversity theory, practice and research need to be further infused in our curriculum.

   a. Provide faculty-wide learning opportunities in anti oppressive practice models and pedagogy.

   b. Create opportunities to discuss what will be taught, how, and by whom

   c. Identify and bridge gaps in Social Justice, Inclusion and Diversity content delivered in courses.

   d. Create ongoing supports for instructors through mentoring, and discussion groups.
e. Explore models for teaching accountability regarding the integration and demonstration of student competence in anti-oppressive theory and practice.

4. **Be responsive, transparent and accountable:** Sharing our work with each other illustrates that we are taking this work seriously. Being transparent means we understand ourselves to be accountable to each other and our constituent groups. Being responsive means continually eliciting and responding to feedback.

   a. Post our values, vision, definitions and action plan on the SSW website, with periodic updates on our progress and use the faculty web center to share our decisions and work plans.

   b. Demonstrate responsiveness to feedback from students and other constituents.

   c. Review our progress across the SSW in the Social Justice, Inclusion and Diversity arena, highlight and celebrate our successes.

   d. Explore accountability mechanisms to ensure progress on our focus of activities.

5. **Advancing the work of the entire SSW community:** We as a faculty group are only one stakeholder in this initiative. We recognize the importance of the crucial stakeholders in our community, such as students, field instructors, researchers, trainers, and others. We understand the need to build a holistic approach to the work, engaging as collaborators with all stakeholders.

   a. The standing committee will explore strategies and timing for processes to include representation of all stakeholders in moving this work forward.

6. **Advancing social justice by acknowledging the inequities in status held by the full range of our teaching faculty** (adjunct, contract, tenure-stream, tenured).

   a. Explore over the long term how our values for social justice, inclusion, and diversity can impact status differentials among our teaching faculty.

We will treat each team member as an individual with their own, valuable, skill set. We will honor individual and new ways of doing things. We will support learning of new skills and new leadership development. We will not participate in degradation based on rank, role, or affiliations.

We will act with honesty, integrity and commitment to the School of Social Work and each other, including staff, faculty, and students.

Active listening and personal accountability resolves conflict. We will make sure that everyone has a voice by stepping back (making room for others by talking less) and stepping forward (finding our voices).

We will remember and seek out the goodness and humanity in others. We will use the “human goodness” model – everyone is good, it’s our behaviors that are not always good.

We actively work to resolve conflict peaceably. We will practice tools for resolving conflict. This will be a part of our professional responsibilities and our work together.

We proactively strive to create a supportive and collaborative work environment that encourages teamwork. We will not humiliate anyone. We will do safe, healthy venting, ask for what we need from one another in a healthy way, listen and stay committed to work out conflict with each other.
APPENDIX L

RELEASE OF STUDENT INFORMATION

It is important for students to understand that the University can release certain student information, including name, address, and home phone number, without obtaining active consent. Students who wish that such information not be released must request this. Forms for authorizing release of information or requesting that information not be released are available in the “Privacy” section at:

http://www.pdx.edu/registration/forms

The following information is primarily aimed at PSU faculty and staff, but it will give you an overview of what kinds of information can be released and under what circumstances. It is from the website of the PSU Office of Registration and Records (note that the links embedded in this document are not active; to use them you will need to go to the website itself):

file:///H:/My%20Documents/MSW%20PROGRAM/orientations/guidelines-release-student-records.htm

Guidelines for Release of Student Records

NO information may be released about students who have established privacy/confidentiality of their records.

Release of student records at Portland State University is governed by federal law (FERPA), the Oregon Revised Statutes, and by the Oregon Administrative Rules.

The following steps provide a simple means to determine what information may be released. Release of any information other than that listed in Step 3 may have serious legal implications. If you receive a request for information other than what is covered in these steps, refer the inquirer to the Office of Admission, Registration, and Records (ARR). Refer ALL inquiries under the USA PATRIOT Act to the ARR at 503-725-3511.

All access and use at Portland State University of a student’s Social Security Number is prohibited except for meeting federal or state requirements, compliance, and reporting. A student’s PSU ID number should be used for all other recordkeeping purposes.

You may copy these guidelines as needed. We suggest that you keep a copy by your telephone for ready reference.

Step 1

Check the confidentiality of the student’s records. Has the student restricted the release of all information by exerting the right to privacy/confidentiality?

1. View the grade roster or class roster. If the word "Confidential" appears next to the student’s name, his/her personal information is to be kept confidential.

2. Sign on to Banner and go to SGASTDN or SPAIDEN screens. Enter the student’s PSU ID number. If this student’s information is confidential, the first time you open the student’s record in Banner a pop-up message will appear saying “Warning: Information About This Person is Confidential.” All subsequent screens will show *CONFIDENTIAL* in the upper left portion of the form. This will also appear on SAAADMS, SFAREGS, SPASRPO, SHATERM, SPAPERS, and other forms that access the student’s record.
3. If you do not have access to Banner, ask someone with access to check the student’s record for you, or call the Office of Admissions, Registration, and Records (ARR) for help (503-725-3511).

Step 2
If the student’s record is CONFIDENTIAL, you must respond to the inquiry in a way that does not acknowledge the student’s existence on campus. An example, "There is no information available on that person". If the person inquiring persists, you may suggest that he/she ask the student in question to contact ARR directly, or refer the caller to ARR.

Step 3
If the student’s records are NOT confidential, then determine what information about the student is being requested. Portland State University may provide only the following directory information without students’ written consent:

• Student’s name
• Current mailing address
• Current telephone number
• Current e-mail address
• Dates of attendance
• Major or minor field of study
• Degrees and awards received
• Date(s) of degree(s)
• Number of credits earned, including class standing (freshman, sophomore, etc.)
• Fact of enrollment, including whether the student is enrolled full-time or part-time
• Participation in officially recognized activities and sports
• Weight and height of members of athletic teams

Step 4
If anything other than the above information is requested, the request should be denied. Refer all inquiries from law enforcement officials directly to ARR. NO information may be released about students who have established privacy/confidentiality of their records.
<table>
<thead>
<tr>
<th>Directory Information at PSU</th>
<th>Non-Directory Information. This information is protected.</th>
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<tbody>
<tr>
<td>Student’s name</td>
<td>Student’s Gender</td>
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<td>Current mailing address</td>
<td>Transcript: Official or unofficial</td>
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<tr>
<td>Current telephone number</td>
<td>Transcript: Student copy</td>
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<td>Current E-mail address</td>
<td>Social Security Number</td>
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<td>Dates of Attendance</td>
<td>(complete or partial)</td>
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<td>Major or Minor field of study</td>
<td>PSU Student ID Number</td>
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<td>Degrees and Awards Received</td>
<td>(whether SSN or generated ID)</td>
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<td>Date(s) of Degree(s)</td>
<td>All access and use at Portland State University of the</td>
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<tr>
<td>Number of credits earned,</td>
<td>Social Security Number for meeting federal or state</td>
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<td>including class standing</td>
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<td>(i.e., freshman, sophomore,</td>
<td>Grades earned</td>
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<td>etc.)</td>
<td>Graduation status; course work yet to be completed</td>
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<td>Fact of enrollment, including</td>
<td>(Cannot report whether student has applied for</td>
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<td>whether student is full-time</td>
<td>graduation)</td>
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<td>or part-time</td>
<td>Residency status</td>
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<td>Participation in officially</td>
<td>Fees paid</td>
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<td>recognized activities and</td>
<td>Class rank</td>
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<td>sports</td>
<td>Current academic status (probation; suspension;</td>
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<td>petitions; readmit status. That a student has applied</td>
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<td>can be released, but the status of the application</td>
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<td>cannot be released.)</td>
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<td>Weight and height of members</td>
<td>VA, Social Security Status</td>
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<td>of athletic teams</td>
<td>GPA (Grade Point Average)</td>
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<td>Class schedule</td>
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<td>Parent or guardian name or address</td>
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<td>All other information about a student</td>
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</table>

CONSIDERED TO BE PUBLIC RECORD. MAY RELEASE TO ANY INQUIRY UNLESS RECORD IN BANNER IS MARKED CONFIDENTIAL.

MAY NOT BE RELEASED.

IF THERE ARE UNUSUAL AND EXTRAORDINARY CIRCUMSTANCES REFER THE REQUEST TO OFFICE OF ADMISSION, REGISTRATION, AND RECORDS
104 NEUBERGER HALL
503-725-3511

These policy guidelines are in accordance with Oregon Revised Statutes (ORS 351.065) and 20 U.S.C. section 1232g, the Federal Family Educational Rights and Privacy Act of 1974 (PL 93-380) [34 CFR Part 99], and Oregon Administrative Rule 577-030-0005.
APPENDIX M

DOCTORAL STUDENT PAPERWORK & REQUIREMENT PROCESS

This is a list of the paperwork that is required for doctoral students that needs to be submitted to the Office of Graduate Studies (OGS). These steps should be followed in this order. Your department may have other internal forms that are sent to our office that are not reflected in this document.

1. **Second language exams, if required**, must be passed before the comprehensive exam. Notice of passing the exam is submitted to OGS.

2. **Comprehensive exams** are taken and a notice of the results is submitted to OGS.

3. **For ESR programs only**: ESR form 002 must be submitted to OGS.

4. The **GO-16D** (Appointment of Doctoral Dissertation Committee) is prepared and submitted to OGS **at least 6 weeks prior to the estimated date of the proposal**, OGS will notify the student, committee, and department by email once this form is approved. We will not approve a GO-16D until #1-3 are received (most programs will just need #2). Never allow a proposal defense to take place without the GO-16D being approved by our office!

5. The **doctoral program/plan of study** is submitted to OGS. This form should be submitted to OGS **after** the student has taken all the required coursework for the degree (excluding 603 dissertation credits, and in some cases, 507 seminars). Students must complete all required coursework for the degree (excluding 603 dissertation credits and, in some cases, 507 seminars) before they will be advanced to candidacy by our office. **Doctoral students must have a minimum of 81 credits beyond the bachelor’s degree**—including 603 dissertation credits—**to graduate**.

6. **Not a form.** In most cases, the **doctoral residency requirement** (doctoral students must register for and successfully complete 9 graduate credits in each of 3 consecutive terms at PSU after their term of admission to the doctoral program) is met before the student is advanced to candidacy. If the residency requirement has not yet been met at this time, the student will need to meet this requirement by taking 3 consecutive terms of 9 credits of 603 dissertation.

7. After the student successfully proposes the dissertation, the **dissertation proposal approval/request for advancement to candidacy** form is submitted to OGS. We will not advance a student until the above #1–6 are met/received by OGS (with the exception of doctoral residency which can be met after advancement).

8. Only after the student has had a successful dissertation proposal should the student submit their **human subjects application/waiver request, if required**, to the Office of Research and Sponsored Projects. In certain unusual cases, an application can be reviewed before a dissertation proposal has been approved. Cathleen Gal ([cgal@pdx.edu](mailto:cgal@pdx.edu)) is the contact for such cases. If human subjects are involved, the student will not be advanced to candidacy until this step has been completed.

9. **Not a form.** After the student is advanced to candidacy by our office, they must be **continuously enrolled** at PSU in every term (except summer) from the term of advancement to the term of graduation. Our office requires one graduate credit; departments may require more registration.

10. After the student successfully defends (final defense) their dissertation and makes all necessary revisions, the department prepares and submits the **GO-17D** (Doctoral Recommendation for the Degree) to OGS. This is the final piece of paperwork OGS needs from the department.

If you have any questions about the forms, steps, requirements for doctoral students or would like to check on the status of any of your doctoral students, you are welcome (and encouraged!) to call or email Beth Holmes, Assistant Coordinator of Graduate Studies, as she is the one who receives/processes/approves all the paperwork for doctoral students and works with them on a day-to-day basis. You can reach her at 503-725-5259 or holmesb@pdx.edu.