This Manual is intended for student guidance. It does not constitute a contractual agreement between the PhD program and students.
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INTRODUCTION

THE SCHOOL OF SOCIAL WORK AT UTA

In 1967, the Texas State Legislature enacted the establishment of the Graduate School of Social Work at The University of Texas at Arlington. The business and professional communities recognized the great need for social work programs and services due to the rapidly expanding urbanization of the north Texas region. The School admitted its first MSSW students in 1968 and received accreditation by the Council on Social Work Education (CSWE) in 1970. The Bachelors of Social Work (BSW) degree was founded in 1979 under the auspices of the Department of Sociology, Anthropology, and Social Work and accredited in 1982. The Doctor of Philosophy (PhD) in Social Work degree program was initiated in 1983. Prior to 1983, the Graduate School of Social Work, the College of Business Administration, and the Institute of Urban Studies, were jointly involved in operating an interdisciplinary PhD in Administration degree program.

In 1991, the Graduate School of Social Work became the School of Social Work when the undergraduate program was brought under the administration of the Dean of Social Work. The School now has three degree programs in Social Work - the Baccalaureate, the Masters and the Doctoral Programs. Enrollment in each program varies from year to year. There are approximately 800 students enrolled as pre-majors and majors in the BSW Program, approximately 900 students in the MSSW Program and approximately 40 students in the Doctoral Program. The programs are resourced by approximately 40 full-time faculty members.

In addition to the degree programs, the School of Social Work at UTA has four research and service centers serving the school and university as well as the wider community through traditional and innovative social work methods. Students, faculty and community members are encouraged to contribute to each of these centers and to participate in their many projects and services.
Center for Addiction and Recovery Studies
The Center for Addiction and Recovery Studies is dedicated to providing services in Dallas County aimed at reducing the incidence of child abuse and neglect, juvenile delinquency, and substance abuse among high risk families. Services include chemical dependency counseling, parent education, health education and child care.

Center for Advocacy, Nonprofits and Donor Organizations
The Center for Advocacy, Nonprofits and Donor Organizations (CAN-DO) assists advocacy groups, human service nonprofits and donor organizations function more effectively and efficiently. The Center conducts research to increase empirically-supported practices at the organizational level; educates leaders in the field through degree programs, continuing education and training opportunities and provides linkages between students and community agencies. Taking a social and economic perspective, the Center promotes the pivotal role of this sector in supporting flourishing, civically engaged, healthy communities. The CAN-DO’s purpose is to improve nonprofit sustainability through research, management training, student recruitment and education, and improving understanding of the unique relationship between nonprofits and donor organizations.

Center for Clinical Social Work
The Center for Clinical Social Work (CCSW) is dedicated to building community and individual well-being. CCSW provides strengths-based clinical services and culturally-sensitive parenting programs to clients. The center also supports post graduate education and training to professional social workers in an effort to continue its tradition of community service. In addition, the CCSW contributes to the knowledge base by conducting clinical research to establish empirically-based practice and effective clinical interventions.

Judith Birmingham Center for Child Welfare
The Judith Granger Birmingham Center for Child Welfare serves as a research and resource center for Texas, the Southwest, and the nation in the advancement and dissemination of knowledge to improve the conditions of vulnerable children and their families. Research, education, and dissemination efforts address the basic rights of children to be nurtured and protected by their families with the support of their communities.

SOCIAL WORK MISSION STATEMENT
The University of Texas at Arlington School of Social Work promotes the highest standards of integrity, and excellence in research, teaching and service, and creates collaborative scholarly and educational opportunities for students and the community, with the goal of achieving a just society.
THE DOCTOR OF PHILOSOPHY IN SOCIAL WORK PROGRAM

PHD PROGRAM ADMINISTRATION
Dr. Beverly Black, Jillian Michelle Smith Professor in Family Violence Research and PhD Program Director, is located in Room 313A, Building A, Social Work Complex. Phone (817) 272-3928, FAX (817) 272-3939, E-mail: beverlyblack@uta.edu.
Nancy Ashenhart, Administrative Assistant for the PHD Program is located in Room 313C, Building A, Social Work Complex. Telephone (817) 272-3928, E-mail: neka50@uta.edu.

The Administrative Assistant for the PhD Program has a supply of forms required by Graduate Studies, and assists with admissions, registration, and general inquiries. The PhD Office is located in Room 313, Building A, Social Work Complex.

UTA Office of Graduate Studies is located on the 3rd floor of Davis Hall: 807-272-2688, http://grad.uta.edu/.

PHD PROGRAM COMMITTEE
The PhD Program Committee is a subcommittee of the School of Social Work Committee on Graduate Studies (COGS) which consists of all faculty who are full members of the university graduate faculty. The PhD Committee is made up of six faculty members who are members of COGS, the Associate Dean for Academic Affairs, and the PhD Director. Two students are elected by the PhD students to serve on the PhD Committee (one represents the first year students, one represents the continuing students). The PhD Committee advises the PhD Director on program policy and addresses curriculum issues for the PhD program.

PROGRAM MISSION, GOALS and OBJECTIVES

The mission of the PhD program is to prepare competent scholars to advance knowledge and scholarship, pursue excellence, and provide leadership and service and to promote social and economic justice and cultural competence with diverse populations. The program builds on the premise that social welfare must be scientifically and theoretically based and continually responsive to changing local and global societal needs.

The primary goal of the program is to prepare scholars to advance knowledge development and dissemination for the profession of social work. The program seeks to provide students with an opportunity to contribute to the advancement of knowledge in the field and the profession in order to provide more effective and efficient services in social welfare and qualify for leadership positions in teaching, research, and administration. Graduates of the program are expected to make a significant contribution to the profession of social work through continued research, scholarship, teaching and service.

THE OBJECTIVES OF THE PHD PROGRAM

Upon completion of the PhD Program, students will display competency in:
- Theory and theory development.
- Knowledge and skills in research methods and data analysis.
- Theory, research, and policy as applied to a specialty practice area.
Understanding and commitment to the underlying values, ethics, and social and economic justice perspectives in the scientific inquiry in social work.

The and research as applied to social work practice, policy and social work education.

PROGRAM DESCRIPTION
The PhD program emphasizes the learning of research methods and teaching. We have awarded over 130 doctoral degrees. Our graduates teach and conduct research in universities across the US and other countries. Some graduates have assumed leadership positions in human service organizations.

The program admits eight - twelve applicants each Fall term. Students come to UTA from around the world and study in a variety of Social Work areas including child welfare, mental health, health disparities, domestic violence, aging and international social work. Students serve as graduate teaching and research assistants gaining hands-on experience working with faculty members on scholarly activities including conference presentations, journal publications and grant applications.

Faculty members in the School of Social Work have a strong commitment to the education of doctoral students. The curriculum emphasizes a strong research and statistical background designed to develop successful graduates who will have the skills and ability to conduct cutting edge research.

During the first year of the program, students complete foundation courses on research, statistics, theory and policy. In the second year of the program, students develop an area of specialization and take additional classes including measurement design, advanced statistics, grant writing and courses outside the school of social work. Following the completion of a class on teaching in social work education, students begin teaching a BSW or MSW classes in the School of Social Work.

A minimum of three years is required to complete the PhD program. Some students may take longer. Our graduates are well prepared to compete on the academic job market.

ADMISSION REQUIREMENTS
Students are admitted to the program in the Fall semester of each academic year. All completed applications are considered and reviewed by the PhD Admissions Committee. The PhD Admissions Committee is chaired by the PhD Program Director and is comprised of four to six faculty members who are members of the graduate faculty.

Applications and all supporting materials should be received by January 15th. Immediately following the January 15 deadline, faculty members begin the initial review of applications. To be included in the initial review process, ALL application materials should be received by January 15. Although applications may continue to be reviewed and may be accepted after the January 15 deadline, all available slots may be filled if an application is received after the January 15th deadline. Enrollment is limited. The students accepted for admission have scholastic achievements, previous experience, and an aptitude for social work research and scholarship indicating great promise for achieving the objectives of the program. Applicants who submit an incomplete application are notified of items missing from their applications.

STATISTICS PREPARATION
Beginning fall 2016, all entering students will be required to take a short statistics class, offered by the PhD program, prior to the beginning of the official program. The class will take place the week prior to
the beginning of the fall semester. This class is intended to assist entering students to be prepared for the first statistics class in the program.

TO BE CONSIDERED FOR ADMISSION TO THE PHD PROGRAM, AN APPLICANT MUST HAVE:

- Master’s Degree in Social Work
- Applicants who do not have a Master’s Degree in Social Work are expected to have worked or volunteer experience in human services and complete an introductory social work course and diversity course prior to beginning the program.
- Transcripts of all undergraduate and graduate work documenting:
  - Undergraduate GPA of 3.0 minimum, on the last 60 hours as calculated by the Office of Admissions, Records, and Registration
  - Masters GPA of 3.4 minimum as calculated by the Office of Admissions, Records, and Registration.
  - A Graduate Record Examination (GRE) scores that evidences an ability to do satisfactory graduate work. This is a University-mandated requirement.
  - Three letters of recommendations, preferably from persons holding PhD degrees, in Social Work or a related field, addressing applicant’s skills in the areas of analytical thinking and writing skills.
  - A score of 500 on the written TOEFL Examination (or 213 on the computer version) if English is not the applicant’s first language; or a minimum TOEFL iBT total score of 90 with sectional scores that meet or exceed 23 for the writing section, 23 for the speaking section, 22 for the reading section, and 22 for the listening section.
  - Professional writing sample that provides evidence of the applicant’s writing and critical thinking skills.
  - Statement of academic goals consistent with the goals of the Social Work PhD Program goals
  - Curriculum Vitae which outlines
    - work and volunteer experiences in human services;
    - participation in professional organizations and conferences;
    - and publications, if applicable.

An interview will be conducted with applicants meeting the basic admission criteria.
Evaluation of Student Applications for Admissions

Student’s Name: ___________________________ ID Number: ___________________

Evaluation by: _____________________________

Date of Admission Review: _____________________________

GPA Score:   UG: __________   GRAD: __________
GRE Score:   V: __________   Q: __________   TTL: __________
TOEFL Score: _____________________________

Scale: 1 – Below standard; 3 – Meets standard; 5 – Exceptional

1 2 3 4 5 Other

1. Undergraduate GPA (3.0 minimum)
2. Graduate GPA (3.4 minimum)
3. GRE Score
4. Curriculum Vitae identifies experiences in human services, participation in professional organizations and conferences, publications
5. Goals Statement & Research Agenda consistent with PhD Program Goals
6. Writing Sample demonstrates strong writing skills and critical thinking skills
7. Letters of Recommendations which document applicant’s writing skills and critical thinking skills
8. 500 on TOEFL/213 computer version
9. Interview

PASSING SCORES FOR TOEFL:
Paper-based = 500
Computer-based = 213
IELTS = 7
IBT = 90 w/sectional scores:
WR = 23
SP = 23
RD = 22
LT = 22
Admitted Students (English Speaking) = 24 or higher
Admitted Students (Non-English Speaking) = 27 or higher

Comment
Interview Questions for PHD Applicants

1. What makes you interested in attending the social work doctoral program at UTA?
   Poorly  Adequately  Very Well
   1_________________________________________  3_________________________________________  5______________________________

2. What challenges do you see yourself facing if you were to be admitted into the program?
   Poorly  Adequately  Very Well
   1_________________________________________  3_________________________________________  5______________________________

3. What strengths would you bring to the doctoral program?
   Poorly  Adequately  Very Well
   1_________________________________________  3_________________________________________  5______________________________

4. What are you interested in researching in the doctoral program? Is there a research question that you would like to answer?
   Poorly  Adequately  Very Well
   1_________________________________________  3_________________________________________  5______________________________

5. Many people suggest that earning a PhD is much about perseverance. Can you describe a time that you preserved even though something became very rough and you were discouraged?
   Poorly  Adequately  Very Well
   1_________________________________________  3_________________________________________  5______________________________

6. If you were assigned to work with a faculty member on a research project that you were not that interested in, what would you do?
   Poorly  Adequately  Very Well
   1_________________________________________  3_________________________________________  5______________________________
Note: To teach practice courses (micro and macro practice courses) in undergraduate (BSW) and graduate (MSW) programs accredited by the Council of Social Work Education (CSWE), two years post MSW experience is required. These requirements can be waived for individuals teaching policy, research, and human behavior and the social environment (HBSE). The vast majority of universities give preference to job applicants that meet the aforementioned requirement. To be competitive and increase their marketability, PhD program applicants are strongly encouraged to obtain the MSW and two years post MSW experience prior to seeking consideration for PhD Program admission.

TIME LIMITS
A student in the PhD program must successfully complete a minimum of 15 semester hours in one 12 month period during his or her doctoral program. In addition, all course work and comprehensive examinations must be completed within 4 calendar years after entry into the program. All remaining degree requirements must be completed within 4 calendar years from the date of successful completion of the comprehensive examinations. Once the student enrolls for dissertation, continuous enrollment is required.

Normally, two years of full-time study are required for completion of course work. During these two years, the student is expected to define and develop the specialized area of study that will be the focus of the subsequent dissertation research. A reasonable expectation for completion of all degree requirements is three to four years of full-time work. Students are advised to consult the current UTA Graduate Catalog for degree requirements, and the Campus and Graduate Calendars published on the UT Arlington’s Website.

TRANSFER STUDENTS
The PhD program admits transfer students on rare occasions. Students may appeal for transfer of credit hours acquired in other institutions. The Director of the PhD program assesses requests on an individual basis.
DEGREE REQUIREMENTS

The program leading to the degree of Doctor of Philosophy in Social Work covers:

- six semesters (three years) of full-time study and
- requires the completion of 48 hours of graduate study.

Including:

- coursework,
- a qualifying examination,
- a comprehensive specialty examination and
- a dissertation.

Students and their faculty supervisory committee together develop a plan of study geared to the student’s interests. Included in this plan are a set of required and elective courses in which students pursue their specialized interests.

- 18 hours of Core coursework
- The core coursework qualifying examination must be satisfactorily completed before progressing in the program
- Twelve Hours of Second year courses
- Six hours of electives selected from relevant graduate courses offered outside the School of Social Work
- Upon completion of 36 hours of required or elective coursework, the specialty comprehensive examination is taken prior to Application for Candidacy and registration for dissertation
- Three hours of dissertation tutorial taken upon successful completion of comprehensive specialty examination
- Nine hours of dissertation must be taken for a student to graduate.

Successful completion of both the core qualifying examination and the comprehensive specialty examination in the area of study to advance the student to candidacy at which time he or she devotes time to the completion of the dissertation. The last step before the degree is awarded is the successful final defense of the dissertation.

CODE OF ETHICS OF THE NATIONAL ASSOCIATION OF SOCIAL WORKERS

Doctoral students must demonstrate knowledge of and adherence to the Code of Ethics of the National Association of Social Worker as currently published by the Texas State Board of Social Worker Examiners. [http://www.socialworkers.org/pubs/code/code.asp](http://www.socialworkers.org/pubs/code/code.asp)
THE FIRST YEAR CORE COURSES (18 HOURS)

The first 18 hours are required core courses.

<table>
<thead>
<tr>
<th>Fall Semester</th>
<th>Year One</th>
</tr>
</thead>
<tbody>
<tr>
<td>SOCW 6373</td>
<td>Theory and Modeling Building in Social Work Research</td>
</tr>
<tr>
<td>SOCW 6340</td>
<td>Advanced Research Methods in Human Services</td>
</tr>
<tr>
<td>SOCW 6347</td>
<td>Intermediate Statistics</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Spring Semester</th>
<th>Year One</th>
</tr>
</thead>
<tbody>
<tr>
<td>SOCW 6341</td>
<td>Advanced Statistical Methods in Human Services</td>
</tr>
<tr>
<td>SOCW 6348</td>
<td>Qualitative Research Methods</td>
</tr>
<tr>
<td>SOCW 6328</td>
<td>Social Policy Research and Analysis</td>
</tr>
</tbody>
</table>

CORE QUALIFYING EXAMINATIONS
Upon completion of the core courses, the Qualifying Examination takes place. Questions focus on each of the areas of the Core Courses. Satisfactory completion of each section of the Qualifying Examinations is required to proceed in the program. The qualifying examination is given during the summer.

SECOND YEAR REQUIRED COURSES

<table>
<thead>
<tr>
<th>Fall Semester</th>
<th>Year Two</th>
</tr>
</thead>
<tbody>
<tr>
<td>SOCW 6367</td>
<td>Data Analysis and Application</td>
</tr>
<tr>
<td>SOCW 6396</td>
<td>Social Work Education: Principles and Skills</td>
</tr>
<tr>
<td>SOCW XXXX</td>
<td>Grant Writing</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Spring Semester</th>
<th>Year Two</th>
</tr>
</thead>
<tbody>
<tr>
<td>SOCW XXXX</td>
<td>Measurement Design</td>
</tr>
</tbody>
</table>

| Outside elective       |                                                |
| Outside elective       |                                                |

THIRD YEAR REQUIRED COURSES

| SOCW 6390              | Dissertation Tutorial (at completion of comprehensive examination) |
| SOCW 6399, 6699        | Dissertation Hours                                               |
| And 6999               |                                                                |
Full Time Study

Year #1

Fall Sem. Core Courses (9 hours)
SOCW 6373 Theory and Modeling Building in Social Work Research
SOCW 6340 Advanced Research Methods
SOCW 6347 Intermediate Statistics

Spring Sem Core Courses (9 hours)
SOCW 6341 Advanced Statistics
SOCW 6348 Qualitative Methods
SOCW 6328 Social Policy Research

Summer

Year #2

Fall Sem. Core Courses (9 hours)
SOCW 6347 Applied Statistics
SOCW 6356 Social Work Education
SOCW XXXX Measurement Design

Spring Sem Core Courses (9 hours)
SOCW XXXX Grant Writing Course
Outside Elective
Outside Elective

Diagnostics

Specialty/Comprehensive Exam

Year #3

Fall Sem.
(3 hours)
Social Work Dissertation Tutorial

Spring Sem.
(X hours)
Social Work Dissertation Work
EMPLOYMENT AND FINANCIAL ASSISTANCE

Scholarships
The School of Social Work has several scholarships available for students. An announcement describing the scholarships is available on the School of Social Work website at http://www.uta.edu/ssw/student-resources/scholarships.php. Students are encouraged to discuss available scholarships with the PhD Director. To be considered for a scholarship, students must be in good academic standing and/or admitted unconditionally or provisionally. Students under probationary status are not eligible for scholarships.

Graduate Assistantships
The school offers Graduate Teaching Assistantships (GTA) and Graduate Research Assistantships (GRA) for students.

To receive and retain a Graduate Assistantships:
- A student must be enrolled in a minimum of 9 hours in courses related to your program of work in both long terms.
- All students are expected to work 20 hours/week as a GTA or GRA.
- Students who drop enrollment below 9 hours will not be renewed in subsequent semesters.
- Students who fail to achieve a GPA of 3.20 will lose their graduate assistantship including tuition waiver. GPA will be rounded to the nearest tenth for determination of GPA.

Graduate Teaching Assistantships (GTAs)
Following completion of the foundation classes in the first year of the PhD program and the required Social Work Education class, students independently teach a class in the program. The School of Social Work gives priority to doctoral students in the appointment of instructors for classes after all full-time faculty have been scheduled. The Associate Dean for Academic Affairs coordinates the appointment of GTA's and distributes notices for appointment applications.

Criteria for GTA appointment for teaching independently:
- Must be in good academic standing;
- Must have obtained a Master’s Degree in Social Work plus 2 years post BSW or MSW practice to teach a practice class;
- Must have completed the core PhD courses (18 credit hours);
- Must have satisfactorily completed SOCW 6396 Social Work Education, Principles and Skills or must demonstrate evidence of prior teaching experience in higher education.
- Must be enrolled full time
- If English was not your first language, you will be required to provide official exam results, i.e. TOEFL, iELTS, etc, indicating appropriate English proficiency in speaking, writing, reading.
Supervision
The Associate Dean for Academic Affairs and/or a designated faculty member will provide direct supervision of GTAs. The Director of Field Education will provide direct supervision of GTAs serving as field liaisons.

Supervision can involve the following activities:
- regular meetings with student to plan course outlines and readings
- discuss preparation and organization of course content
- review teaching methods
- plan and discuss course assignments and grading criteria
- discuss grievance (grade appeal) procedures and process
- review student evaluations and discuss feedback with GTA

Evaluation
Graduate Teaching Assistants are reviewed using the same standardized teaching evaluation form as used for all faculty members. The Associate Dean for Academic Affairs reviews teaching evaluations, provides feedback to the GTAs based on evaluations and places a copy of the summary evaluation in student's file in the PhD Office (which may serve as a reference for future teaching assignments). Re-assignment is subject to evaluations as well as other documentation about professional ethics, comportment, and the fulfillment of contractual duties.

Graduate Research Assistantships (GRAs)
All students will be assigned to a GRA position. In a GRA position, a student works closely with a faculty member on a research project. The research project will focus on the faculty member’s area of interest. Students will have the opportunity to learn from the faculty member and gain experience in the research process. Students will also have the opportunity to be included in various activities including the submission of abstracts for conference presentation, articles and book chapters for publication and grant proposals for funding.

Supervision
All GRAs are supervised by the assigned faculty member and are evaluated on the following criteria:
- Productivity
- Time commitment
- Dependability
- Initiative
- Relationships with people
- Interest Level

Evaluation
Graduate Research Assistants will be evaluated by their assigned faculty member. Students will also have the opportunity to evaluate their learning experience while serving as a GRA.

Dean Fellowships
The program offers a limited number of dean fellowships for students who concentrate in specific research areas.
PHD PROGRAM PROCESSES

REGISTRATION
All entering first year students will receive regular information prior to the starting date of the fall semester. Students should contact the PhD Program office with questions or for further guidance. Many students register for classes during the PhD program orientation.

For on-going students, registration is held three times a year. In October, students register for the spring semester. In March, students register for summer, and in June for fall semesters. Students must register through MyMav by accessing through UTA’s website: www.uta.edu, sign in: MyMav. The Schedule of Classes, with registration timetables and instructions are available through UTA’s website at http://grad.uta.edu, or by calling (8 17) 272-2688.

Advisement is held concurrently or prior to registration each semester. Students must obtain an approved advisement form and be cleared in the academic computer by the PhD Program Administrative Assistant before registering.

DOCTORAL ADVISING SYSTEM
The PhD Director performs advising responsibilities through the first 1 ½ years of the program and chairs student's initial Diagnostic Advisory Committee. The PhD Director also solicits graduate faculty members to serve as additional members of students’ diagnostic advisory committee. Prior to completing the first 27 credits of the program, students form their own Diagnostic Advisory Committee.

DS PRO
Each year, every active student is required to complete the information requested in the DS Pro website. This is a University of Texas mandated requirement. The software portal is usually opened in late Spring and closes in early September of each year. If completion of this is not done, the result is the student will be dropped from the University. This is NOT a Social Work process. This is a critical mandate from the University of Texas in general. https://grad.pci.uta.edu/programs/dspro/

ADVISING PROCESS
When the student has advanced to doctoral-candidacy-status and officially formulates the Dissertation Committee -- the Committee, in conjunction with the Doctoral Graduate Advisor, will assume the major responsibility for academic and professional advisement of the student until she or he graduates.

The Graduate Advisor of the PhD Program in Social Work is responsible for establishment and maintenance of the advisory system and for:

- Representing the Office of Graduate Studies and the program's governance body in all Matters pertaining to the advising of doctoral students in social work;
- Registering each doctoral student and acting on adds, drops, section changes, and special examinations;
- Maintaining a record of each student's work from previous degrees and copies of registrations and grades in work at this institution;
- Informing students and prospective students about graduate work and referring students in appropriate instances to other faculty members for advice;
- Acting as an assistant to the Office of Graduate Studies of the University in all matters assigned.
Responsibility for advising students is held to be an integral part of the faculty's overall responsibility and instructional assignment. The PhD Graduate Advisor, Faculty Chairs and members of the Diagnostic Advisory and Dissertation Committees duties include:

- Maintaining an on-going educationally focused relationship with the student geared toward promoting optimum use of his or her, intellectual and emotional capacities in learning;
- Assuming the responsibility for periodic educational performance evaluations of the student;
- Fulfilling appropriate administrative functions related to the advising system (e.g., approve a plan of study for the student as a requisite for registration; advise student as to appropriate form to be completed at different phases of the program);
- Serving as a resource person and consultant to the student for technical, professional and career information.
- Ensuring DSO PRO is completed within time limits specified by graduate office.

Student's responsibilities include:

- Initiating and maintaining on-going contact with the advisor when she or he wishes to try out ideas or when she or he experiences performance or other problems relative to his or her role as a graduate student;
- Apprise the advisor of needs that require specialized or individualized programming;
- Accept shared responsibility with the advisor for on-going maintenance of the advisor-advisee relationship.
- Coordinate with the Faculty Chairs the calling of needed meetings of committee members
- Coordinate with the Faculty Chairs the completion and submission of all appropriate documentation and forms required throughout the phases of the program.
- Ensuring DSO PRO is completed within time limits specified by graduate office.

PHD DIAGNOSTIC ADVISORY COMMITTEES

Initial Diagnostic Committee
Prior to or upon completion of first year core courses (18 hours), students are evaluated by PhD Diagnostic Advisory Committee in accord with the guidelines specified by the Office of Graduate Studies and stated below:

- The Diagnostic Advisory Committee must consist of at least 3 faculty members. The Director of the PHD Program chairs the committee;
- Members of the committee will be selected from the graduate faculty within the School of Social Work;
- The Diagnostic Advisory Committee conducts the diagnostic evaluation;
- The diagnostic evaluation is a review of the student's progress during the student's first year of doctoral program work; and,
- The Diagnostic Advisory Committee will assist students in selecting courses (6 credit hours) outside the School of Social Work.

The result of the diagnostic evaluation may be:
- approval to continue in the doctoral program,
- approval to continue with specified remedial work,
- failure but with permission for assessment through a second diagnostic evaluation after a specified period, or
failure and termination in the program.

At the diagnostic evaluation, the advisory committee will help the student outline his or her plan of study for the remainder of the academic program. The result of the diagnostic evaluation must be filed in the Office of Graduate Studies through the PhD Graduate Advisor/Doctoral Program Director.

Diagnostic Committee
Upon completion of first 1½ year of course work (27 hours), students develop their own PhD Diagnostic Advisory Committee in accord with the following guidelines:

- The Diagnostic Advisory Committee must consist of at least 3 faculty members. Students will select the chair of their Diagnostic Advisory Committee in consultation with the PHD Program director.
- Members of the committee should reflect the student's primary area of concentration, and the student's specialty area. One may be a member-at-large (i.e., a member, but not necessarily representing a specified area of concentration, major or specialty area).
- The Advisory Committee will develop and evaluate the written specialty component of the comprehensive examination. Students will have maximum input into developing the advisory committee, in consultation with the chair of the advisory committee and the graduate advisor.
- Upon agreement with a faculty member regarding being chair, the faculty member assists the student in selecting the remaining committee members.
- Members of the diagnostic committee generally serve in that capacity until the student has passed the Comprehensive/Specialty examination.

CORE QUALIFYING EXAMINATIONS
Upon completion of the core courses, Qualifying Examinations are taken. Questions are set in each of the areas of the Core Courses. Satisfactory completion of each area of the Qualifying Examination is required to proceed in the program. The qualifying examination is given in the month of June.

Structure of the Core Component of the Qualifying Examination
The qualifying exam is a written exam. The exam is a take-home-exam based on an empirical article. Students are asked questions related to research (qualitative and quantitative), theory, statistics and policy. The article is selected by the Doctoral Program Director with input from faculty. Questions for the exam are submitted by the faculty members teaching the relevant content-area course. The Program Director selects the final exam questions. The expectation is the student will apply critical thinking in answering the exam questions based on Bloom’s framework, which is based on the following six principles:

- Interpretation
- Synthesis
- Comprehension
- Analysis
- Application
- Evaluation

Policies of the Qualifying Exam
Students will not be allowed to consult with others. All students will sign a statement that the work submitted will be their own work. The article used for the exam will be the same for all students and given to the students two weeks prior to the exam date. The questions will not be given prior to the exam.
The exam will be completed in 72 hours.

Students will receive all sections at one time.

Three faculty members with full membership in the Graduate Faculty will grade the exam; 1 of the 3 faculty members must have taught in the doctoral program in the prior year.

Names of the exam readers are not released.

Students will only receive notification as to which sections of the exam they passed or failed. No additional feedback will be given. All students may contact the PhD Director with any additional questions.

Page limit. Each exam section will have a page limit noted.

Late Exams. Any exams received after the due date time will not be graded. You are suggested to plan accordingly. Computer failure will need documentation.

RESIT Qualifying Exam

Students who fail any section of the Qualifying Exam will have the opportunity to retake the failed sections of the exam. Resit Qualifying Exam will take place in August. Students will receive an article at least 2 weeks prior to the Resit Qualifying Exam. Resit readers will be the same faculty members as initial qualifying exam readers unless circumstances preclude it (illness, leaving the university). Names of readers will not be released. Students will only receive notification as to which sections of the exam they passed or failed. No additional feedback will be given. All students may contact the PhD Director with any additional questions. Any student who fails a section of the Qualifying Exam for a second time will not be permitted to continue in the program.

THE SPECIALTY PHASE (15 hours)

The specialty phase is planned around an area of specialty designated by the student in conjunction with an Advisory Diagnostic Committee of three faculty members. In the Specialty phase of the program, students select courses (6 credit hours) outside the School of Social Work. Guidelines for the selection of courses outside the School of Social Work are stated below.

Outside Course Policy

All students in the doctoral program are required to take two courses outside the School of Social Work. These courses should be in the area of the student’s focused research which will add depth or breadth to the student’s knowledge level and expertise. These courses are intended to support the coursework in the student’s domain of knowledge within social work. Students should take courses in other departments/schools/colleges at UTA. When deemed appropriate, the director may permit students to take one of the outside courses at another university. Permission will only be granted for courses that are not offered by UTA and specifically in the student’s domain of knowledge for completion of the dissertation. Students pay for course work taken outside of UT Arlington.

Students will select courses that will assist them in building their knowledge base to complete their dissertations. Organized courses and tutorials/independent study courses qualify for outside courses. Students may consult with their diagnostic committees on outside course selection. The director of the program will review and approve outside course enrollments.

Outside courses must be:

Master’s Level Courses in the School of Social Work as Electives

The Graduate Catalog lists courses available at the master's level. PhD students may enroll in master's level courses as planned and agreed by their Diagnostic Advisory Committee. PhD students should identify themselves to the course instructor since extra requirements for doctoral students may differ from course to course.
Doctoral level courses. A master’s level course may be considered if in consultation with the instructor, additional depth and breadth of knowledge will be attained through an additional assignment(s).

Courses must be taught by a PHD level instructor.

No courses can be taken inside the School of Social Work.

TUTORIAL (3-6 HOURS: SOCW 6390)
A tutorial is an "individual-instruction" course. The student does not attend class on a formal basis, but instead works with an individual professor around a subject of interest to both. The policy on tutorials is that all tutorials (one, two and three credit hours) be carefully planned and approved in advance. Tutorials may not be given in areas where an organized course is offered. A maximum of 6 credit hours of tutorial can count towards hours in the specialty phase.

Requirements: A written Plan of Work, must be submitted by the student and approved by the Advisory Committee and the Graduate Advisor, prior to enrolling in the course.

Registration: Written evidence of approval from the Graduate Advisor and the student's Advisory Committee or the dissertation chairperson must be presented during advisement prior to registration.

THE SPECIALTY/COMPREHENSIVE EXAMINATION

Purpose:

Provide the student an opportunity to demonstrate expertise in a specific area, and

Indicates the student’s ability to integrate knowledge from social work content area.

Demonstrate ability to independently conceptualize one aspect of their specific area of interest.

Process:

Student and faculty committee members meet in person or by conference call to discuss the research content/question that will be addressed in the Specialty Exam.

All committee members will agree on the research question for the Specialty Exam before the student begins work.

The committee should determine an approximate length of the exam and outcome of the exam.

The exam may or may not be crafted for publication.

Product:

Student will complete a paper (minimum length of 20 pages, excluding references) that will contribute substantially to the dissertation (e.g., literature review or theoretical framework, methodology, including the testing of an instrument that was developed).

Grading:

The committee members grade the paper on a Likert scale of 1 (poor, low competence) to 5 (exceptional, high competency). A rating of 3 (proficient, acceptable competency) is passing.

In the Likert scale,

(5)= strong performance and approval to proceed to the next phase of the program,

(4)= good performance and approval to proceed in the program but meet certain specified additional requirements,

(3)= acceptable performance and approval to proceed in the program;

(2 or 1)= did not meet specified specialty requirements and may not continue in program.

All committee members provide feedback on Specialty Exam to the committee chair. All committee members must approve the paper in its entirety for a grade of Pass. Should the paper not pass, the student has an additional 30 days to revise and resubmit the paper to all committee members.
graded. The 30 days to revise and resubmit the paper begins the day that the student receives the official feedback from the committee chair. The faculty specialty committee has 2 weeks to provide feedback to the student after each submission. Students may rewrite the Specialty Exam no more than two times.

The student must submit a request form for the Comprehensive Examination to the Graduate PhD Graduate Advisor, no later than two weeks before the proposed examination date. The request must specify the time, place, and form (written and/or oral) of the examination and must include the signatures of all of the advisory committee members and the PhD Program Advisor. Forms may be obtained from the PhD Program Administrative Assistant.

DISSERTATION TUTORIAL (SOCW 6390) (3-6 hours)
Following the completion of comprehensive examination and submission of the student’s program of work to establish candidacy, the student enrolls in a dissertation tutorial with the Dissertation Committee Chair. The purpose of the tutorial is to develop and prepare the dissertation proposal for defense.

DISSERTATION

DISSERTATION COMMITTEE
On completion and passing of the specialty examination, in consultation with the Graduate Advisor the student will select a Dissertation Chairperson. In consultation with the Dissertation Chairperson, the student will select a Dissertation Committee consisting of members from the student's primary area of research and with expertise in the proposed research methodology and data analysis. This committee is comprised of five to six full time faculty members.

One member of the committee must be outside the School of Social Work. The outside committee faculty member must meet the following requirements:

- Have an affiliation with a university. Exceptions may be considered by the Program Director on a case by case basis.
- Must be in a university department/school other than social work. The purpose of having an outside member allows the student to have a different perspective on their committee.

Faculty members serving on a dissertation committee and leaving UTA School of Social Work (retirement or separation),

- may remain serving as member of the committee for two years and
- will NOT be considered an “outside” committee member

The Chairperson of the Dissertation Committee must be
- from the student's area of concentration and
- a full member of the graduate faculty at UTA.

Students shall have maximum input in the Selection of the Dissertation Chairperson and Committee. It is not required or expected that all members of the student's Diagnostic Advisory Committee will serve on the Dissertation Committee.

DISSERTATION DEFENSE
Upon completion of the dissertation proposal and in preparation of the dissertation research proposal defense, copies of the proposal are submitted to each member of the dissertation committee for review at
least two weeks prior to the proposal defense date. The chairperson of the committee will schedule a meeting for the candidate to defend the dissertation proposal. The dissertation committee may convene additional meetings until it is satisfied with the dissertation proposal. All members must approve the proposal for the student to engage in the research process. A form, to be signed by all committee members, should be completed once the proposal has been successfully defended. One copy should be returned to the Graduate Advisor/Program Director directly after the proposal defense. Students are not only permitted but also encouraged to consult with all members of the Dissertation Committee, in addition to the chairperson, during the research and writing phase of the dissertation proposal. See Appendix C for a list of references relating to models for the proposal.

IRB APPROVAL
Upon approval of the dissertation proposal, the student must submit an application to the UTA Office of Research for approval of the proposed research activities by the Institutional Review Board.

Under no circumstances may data be collected for the proposed study prior to the defense and approval of the research proposal and receipt of approval by the IRB.

ADMISSION TO CANDIDACY
Upon approval of the dissertation proposal the student is admitted into candidacy. At this point in the program, the student must have completed at least 39 approved credit hours to be considered for candidacy.

DISSERTATION HOURS (9 hours)
Students are expected to enroll for a minimum of 3 hours per semester while working on their dissertation during the Fall and Spring semesters. Students must complete a total of 9 hours of dissertation.

NOTE: Students must be enrolled in at least 3 hours of dissertation in the semester in which they graduate. Once enrolled in dissertation hours, continuous enrollment is required. However, dissertation hours are graded as an “R” (Research in Progress) and do not count towards the accumulation of hours.

DISSERTATION FORMAT
Submission of an acceptable doctoral dissertation completes the requirements for the PhD in Social Work. The dissertation should give evidence of the student's ability to bring the theory and research procedures in an area of concentration to bear on a problem in the Social Welfare field. It is the culmination of the student's academic efforts and is expected to demonstrate original and independent research and be a significant contribution to knowledge. A dissertation will usually be formulated in connection with the student's specialization and area of concentration within the program. Students must demonstrate reasonable progress during any semester in which they are enrolled for dissertation.

Students have the option of completing a Research Publication Dissertation instead of the traditional dissertation. The following policy guidelines apply to the Research Publication Dissertation:

I. Introduction

The dissertation is a coherent body of work; however, the student writes a minimum of three articles suitable for publication in peer-reviewed journals. All Research Publication Dissertations require prior
approval of the student’s specialty committee, dissertation committee and PhD Program Director. All three scholarly papers should represent work undertaken while the student is enrolled in the PhD program.

II. Number and Nature of Articles
1. The student will write a minimum of 3 articles under the Research Publication Dissertation format. Each article is treated as a separate chapter, i.e., they will comprise Chapters 2, 3, and 4 of the dissertation.
2. The articles should form a cohesive body of work that supports a theme or themes that are expressed clearly in the introduction to the dissertation (Chapter 1).
3. Articles are submitted to journals following the style requirements of those particular journals.
4. Manuscripts submitted and accepted for publication by a journal does not constitute acceptance or approval of the manuscript as part of the dissertation by the advisory committee. It is the responsibility of the examining committee to determine if a manuscript fully meets degree requirements for the dissertation.

III. Journals
1. Journals must be approved by the dissertation committee. Serving as an “editorial board” for the student, the committee will help select journals that will challenge the student and offer a reasonable chance of publication success.
2. Articles must be ready for submission prior to the dissertation defense and should be submitted as soon as possible following the defense, once any changes suggested by the committee at the defense are made. One article may be submitted following the completion of the specialty exam and prior to the dissertation defense.

IV. Authorship
1. Students must be sole author or first author on all articles. One article may be co-authored with the committee chair and/or committee members. Authorship must be negotiated and agreed upon in writing as part of the completed dissertation proposal. Any subsequent changes in co-authorship must be approved by all members of the student’s dissertation committee in writing.
2. To avoid conflicts of interest, any co-authors who are members of the student’s dissertation committee must recuse themselves from judging articles carrying their name. In these cases, two additional faculty members chosen by the PhD Program Director will, prior to the defense and in concert with those committee members who are not co-authors, determine the suitability of the article(s) in question.

V. Organization of the Dissertation
1. The dissertation must include an abstract that synthesizes the articles, as well as an introduction (Chapter 1) and a conclusion (Chapter 5).
2. The introduction (Chapter 1) should include:
   a. A definition or statement of the problem.
   b. A rationale for the dissertation as a whole is provided
   c. The importance of the problem, i.e., why it is worth researching, why it matters to the field of social work.
   d. The theoretical foundation(s) supporting the problem/issue.
   e. An overview of the important literature (overview, because each article submitted for the 3 article format will have its own unique literature review).
   f. The research questions.
   g. The methodology to be used to answer those questions.

3. Article chapters (chapter 2, 3, and 4).]
One article should be a systematic review of existing research on the substantive topic or on an article
based on a theoretical or policy approach to the substantive topic. The other two articles should be empirical research based on data analyzed by the student as part of the dissertation process.

4. Conclusion. (Chapter 5) will summarize the dissertation’s major findings, discussion, and recommendations. The student will also present and discuss linkages (i.e., similarities and differences, themes or patterns) between the separate manuscripts that are included in the dissertation, striving as much as possible to present the document as representative of a coherent body of work.

   a. Synthesis of the main findings of the full dissertation including the findings reported in the manuscripts.
   b. Strengths and limitations of the dissertation are provided.
   c. General conclusions and implications for practice and future research are provided.

Note: The dissertation will be formatted and bound consistent with School of Social Work guidelines. Students must secure all copyright permissions before finalizing the proposal and the dissertation. Some journals might have copyright peculiarities that make it difficult to include in a dissertation. All of these issues should be considered early on in the process.

Note: Exceptions to policies about dissertation chapters can be approved by the PhD Program Director and the PhD Program Committee.

VI. Dissertation Proposal and Defense Procedures

1. Research Publication Dissertations will be subject to a proposal and dissertation defense procedures as specified by program policy.

2. Dissertation Proposal:
   a. The introductory chapter.
   b. Copy of any completed article.
   c. An outline of any article in progress.
   d. A list of proposed journals.
   e. A timeline for completion of the work.
   f. IRB approval and research procedures, if required.

3. Dissertation Defense
   a. After the dissertation committee approves all sections of the dissertation and the three scholarly papers have been determined to be appropriate for publication in refereed journals, the student may schedule their dissertation defense.
   b. The defense is a formal meeting between the student and dissertation committee. The student is responsible for giving an oral presentation of their full dissertation. The student is expected to clearly and professionally articulate the rationale and purpose of the dissertation. The student also should describe the methodology and interpret the results, identify limitations, and discuss recommendations from the research. The student should identify areas for future research and articulate a personal research agenda that builds upon the dissertation. The student should also articulate feedback he or she may have received from journal editorial reviews and describe in detail how he or she has responded to this feedback.
   c. The dissertation committee is responsible for challenging the student to defend their choices and conclusions, testing the student’s knowledge about the topic, and confirming that the student is well-positioned to meet the stated research goals.
   d. Similar to other dissertation defenses, the defense is open to the public. All visitors and members of the dissertation committee will be present for the oral presentation.
Final Dissertation Outline
I. Cover Page
II. Table of Contents
III. Abstract
IV. Chapter 1: Introduction - Statement of the Problem
   • Significance: Importance of Problem Using Empirical Research
   • Innovation Statements (how your work moves the field forward vertically)
   • End with Research Questions/Aims of Each Study and How They Will Address Important Gaps in the Literature and Form a Cohesive Body of Work
V. Chapter 2: Literature Review/Systematic Review or an Article based on a Theoretical or Policy Approach to the Substantive Topic Framework
   • This article can have been submitted for publication; Committee will determine if it meets requirements for dissertation
   • If article not submitted; Targeted journal identified
   • Article in format of targeted journal
VI. Chapter 3: Empirical Article
   • Article in Final Submission Format to be published after dissertation defense
   • Targeted journal identified
   • Article in format of targeted journal
VII. Chapter 4: Empirical Article
   • Article in Final Submission Format to be published after dissertation defense
   • Targeted journal identified
   • Article in format of targeted journal
VII. Chapter 5: Conclusion/Discussion
   • Discuss the Scholarly Work Completed and the Implications for the Field More Broadly; this should include a discussion about how the papers go together, how they form a cohesive contribution to the literature.
   • Discuss Limitations of the Scholarly Work Completed
   • Discuss Recommendations for Social Work Research, Practice and Policy (and/or Related Fields)
VIII. References: Each dissertation chapter will also have its own reference list.

Dissertation Defense
The candidate, in consultation with the dissertation committee chairperson, will prepare and distribute a copy of the completed dissertation to each committee member. This should be done one month before the projected defense date. The student must include a Readiness for Defense Form with the completed manuscript for each committee member. All committee members must designate that the dissertation is ready for defense by completing the form and returning it to the Dissertation Chairperson. This form requires the signatures of all Committee Members, Committee Chair and the Graduate Advisor. The latest date to hold a defense is usually 3-4 weeks before the end of semester deadline. Be sure to consult a current graduate catalog for dates. (See also the references in Appendix C for details regarding preparation and time-line to assist your planning.)

No dissertation defense can be held if the committee members DO NOT receive a draft of the dissertation at least 3 weeks in advance of the final date to request a dissertation defense. It is in the student's best interest that the committee members receive the draft at the earliest date possible to allow for timely revisions and re-submissions if deemed necessary. Every committee member should make every attempt to attend the dissertation defense in person.
Public notice and open invitation to all dissertation defenses is the current policy of the University of Texas at Arlington. Notifications of dissertation defenses are sent to students and faculty listservs of the School of Social Work. Public notice of all doctoral defenses is posted at the SSW. PhD students are invited and encouraged to attend the dissertation defenses of their colleagues.

**Dissertation Results**

The dissertation defense may result in:

- passed unconditionally,
- passed conditionally with specified remedial work,
- failed, with permission to be re-examined after a specified period,
- failed, dismissal from the program.

If the candidate successfully defends the dissertation, he or she must complete all additional administrative requirements and obtain the necessary signatures in accordance with the Catalog and the School of Social Work. For details on preparation of final copies of the dissertation, see the most current Graduate Catalog.

Dissertation Chairs: The use of dissertation co-chairs is permitted by the University and the School of Social Work.
GUIDELINES FOR REVIEW OF DOCTORAL DISSERTATIONS

The doctoral program committee adopted the following guidelines for review of doctoral dissertations.

Guidelines for Review of Doctoral Dissertations
These guidelines are designed to assist the doctoral students and faculty members serving on dissertation committees in evaluating the quality of student doctoral dissertations. As guidelines, they can be used in a number of ways. For example, doctoral students can use them as a self-guide in their development of their dissertation proposals and completion of their dissertations. Dissertation committee chairs can use these guidelines to help prepare students for beginning work on their dissertation and as a tool to evaluate the quality of a student’s dissertation drafts. The dissertation committee as a whole can use these guidelines to help evaluate the student’s dissertation prospects as well as completed dissertation. Finally, these guidelines can be used in appropriate courses in the doctoral program’s curriculum.

Topic
Significance of Research Topic is significant to social work and social welfare.
SA A U D SD NA

Scope
The scope of the study is manageable.
SA A U D SD NA

Scholarship
Literature Review
The pertinent literature, conceptual and research has been reviewed and the most important prior studies have been cited.
SA A U D SD NA

The candidate demonstrates a mastery of the literature in the field.
SA A U D SD NA

The hypothesis or the question flow clearly from the problem statement.
SA A U D SD NA

Theory (What theory or theories were used?)
A theoretical framework or perspective is articulated or developed.
SA A U D SD NA

A rationale is offered for the choice of the selected theory or why a new theory is being developed.
SA A U D SD NA

The strengths and weaknesses of the selected theory are identified. (A critique using relevant literature)
SA A U D SD NA

The selected theory is appropriate to the research question.
SA A U D SD NA

Integration of theory and data is evident in the discussion and conclusion.
SA A U D SD NA

Research Design
Research Question
Research questions build on a review of the literature.
SA A U D SD NA
The rationale and assumption that underlie the study questions are made explicit.
SA    A    U    D    SD    NA

The research question(s) are clearly stated.
SA    A    U    D    SD    NA

Research hypotheses are provided with rationale
SA    A    U    D    SD    NA

**Design, Concepts and Measures**
Design of the study is appropriate to the research question asked.
SA    A    U    D    SD    NA

Concepts in the hypothesis and research questions are defined.
SA    A    U    D    SD    NA

The measures of concepts are described adequately (e.g. Reliability, validity and normative data) or an approach to the development of concepts stated.
SA    A    U    D    SD    NA

Methods and procedures of data collection are made explicit and justified as to their appropriateness.
SA    A    U    D    SD    NA

Issues relevant to internal validity/credibility and reliability/dependability have been addressed.
SA    A    U    D    SD    NA

**Populations & Sample**
Includes appropriate descriptive information and findings (e.g. power tests for determining sample size.)
SA    A    U    D    SD    NA

The population (text, files) from which the sample is drawn; the modified of sampling and the rationale for the sampling method is well described.
SA    A    U    D    SD    NA

The rationale for sample size and the anticipated response rate is indicated.
SA    A    U    D    SD    NA

**Procedures and Data Collection**
Methods of data collection are clearly described.
SA    A    U    D    SD    NA

Methods of data collection are appropriate to the population including relevance to gender, ethnicity and other states.
SA    A    U    D    SD    NA

If appropriate, a pretest or a pilot test was conducted.
SA    A    U    D    SD    NA

**Data Analysis**
Analysis is consistent with the objectives, design, sampling, method and assumptions of the statistical models employed.
SA    A    U    D    SD    NA
What data analysis strategies were used in the dissertation? Check all that apply.

- Univariate/descriptive
- Chi square
- T-tests
- Content analysis
- Correlational analysis
- Regression analysis
- Structural Equation Modeling
- Other

The analysis is clear complete and meaningful in context.

Findings
The findings are tied to the literature and implications for research are noted.

The limitations and strengths of the study are identified.

Ethics
The research has been approved by the University’s Institutional Review Board and other organizations involved in the research.

Presentation
Study presented in a logical, easily understandable sequence from initial statement of the problem to the last appendix.

Technical Adequacy
The study is well edited with adequate attention to grammar, sentence structure, spelling, and non-sexist language.

Citations are accurate and consistently provided.

Comments ________________________________________________________________

_____________________________________________________________________

_____________________________________________________________________

_____________________________________________________________________
FORMS AND TIME FRAMES

REQUIRED FORMS:

University Honor Code Signed at orientation
NASW Code of Ethics Reviewed at orientation upon entering program
Diagnostic worksheet Completed before end of first year
Diagnostic evaluation report Filled out and presented at Diagnostic Committee Meeting
Registration Advising Forms Filled, signed by adviser and turned into Program Office prior to each semester
DS Pro Completed online each Summer prior to Aug. 15th
Milestone Agreements Completed at Orientation and the first week of each new academic year
Degree Plan Completed during the first week of each new academic year
Comprehensive/Specialty exam report Completed after student has passed Comprehensive/Specialty Report
Application for candidacy Completed prior to enrollment of dissertation hours
Report of Dissertation Proposal Defense Must be approved PRIOR to beginning data collection
Dissertation Readiness Form Use for committee reviews during dissertation preparation
Dissertation Defense Report To be filled out and presented at Dissertation Defense
Dissertation MUST provide a copy of your dissertation to the UTA Library
Graduation Forms Any and all forms required by the University’s Graduation Desk

OTHER FORMS:

Dissertation Consultation Form Use as needed for committee reviews during dissertation Preparation
Petition to the Office of Graduate Studies Use this form any time there is a request to make changes on Dissertation Committee members, change in program requirements, or any other requests that involve the Office of Graduate Studies in changing records/policies.
Leave of Absence

Use this form when a student has to take a medical or otherwise approved leave of absence from the program. This form must be approved/denied by the PhD Director and submitted to the Office of Graduate Studies.
SCHOOL OF SOCIAL WORK POLICIES (STUDENTS)

STUDENT RIGHTS AND RESPONSIBILITIES
The University of Texas at Arlington School of Social Work explicitly identifies the following policies, procedures and guidelines which are considered to represent the conviction that students' rights and responsibilities form a cornerstone for graduate social work education.

- The School recognizes and supports the right of students to organize in their own interests as students.
- The School provides for student membership on all standing committees (with the exception of the Committee on Retention, Tenure and Promotion and the Academic Hearing and Professional Standards Committee). University regulations preclude students having voting rights on the Committee on Graduate Studies but on all other committees, full and meaningful participation is expected. Representation on committees currently is authorized for two student members.
- Students' appropriate efforts to gain knowledge will be guarded as a fundamental right. Students will not be prohibited from exercising their Constitutional and lawful activity guaranteed by the United States. These activities expressly include freedom of speech and dissent.

STUDENT FILES
A student may review all material in his/her file with the exception of medical reports, which are confidential, and references if the student has waived the right to access to confidential letters and statements of recommendation.

The School may confirm that a student (or graduate) is enrolled in school (or has graduated), but requests for additional information will be honored only at the request of the student (or graduate) unless the inquiring agency has provided a stipend, with this stipulation, for the student.

STUDENT ACADEMIC PERFORMANCE STANDARDS
In addition to the requirements of the Office of Graduate Studies listed elsewhere, each graduate student in the social work program must

- maintain at least a B (3.0) overall GPA in all course work;
- demonstrate suitability for professional social work practice; and,
- demonstrate knowledge of and adherence to the Code of Ethics of the National Association of Social Workers and the Code of Ethics as currently propounded by the Texas State Board of Social Work Examiners. (Sections of these two documents have been reprinted in Appendix D. PhD students are required to sign a written statement indicating that they are aware of and will adhere to the NASW Code of Ethics.)

The faculty and administrators in the School of Social Work have the responsibility to ensure that future social work professionals on the bachelors, masters, or doctoral levels conduct themselves in accordance with the standards of the National Association of Social Workers Code of Ethics and the Code of Ethics prescribed by the Texas State Board of Social Work Examiners. The faculty affirms the belief that
current or future social work clients deserve careful protection because of their vulnerability to biases, poor clinical judgments, or misconduct by social workers. The Codes, therefore, serve as criteria for students' behavior on and off campus.

In addition to behaviors affecting current or future clients, students' behaviors on or off campus involving family members, other students, faculty, or university staff that constitute a violation of social work academic standards may result in dismissal or restriction on the basis of academic procedures. For example, selling drugs, family violence, or inappropriate sexual behavior with a child in his or her trust will constitute a violation of NASW Code of Ethics and result in a review and possible termination from the social work program based on academic standards and procedures.

The following are examples of behaviors that may result in dismissal on academic grounds:

- Forced or coerced sexual behavior.
- Sexual activity with clients including, but not limited to kissing, fondling, or sexual intercourse.
- Physical actions directed at clients, students, faculty, or staff, such as hitting, spanking, or slapping. Also, violence directed toward the student's family members or other vulnerable persons is considered a violation of professional behavior.
- Physical or emotional threats directed toward clients, students, faculty, or staff.
- Taking or accepting gifts or money from clients that are not considered standard payment for services received on behalf of the agency. Students shall neither ask for nor expect gifts from clients.
- Illegal or unethical behavior that limits or takes away clients' rights and/or results in financial, material, or emotional loss for clients or gain for social work students.

When questions are raised by Social Work faculty regarding any of the above, the student will be notified and will be provided the opportunity to respond to the Academic Review and Professional Standards Committee. The Committee will review the student's performance and make a recommendation to the Dean concerning the student's eligibility to continue in the program. The Dean will notify the student in writing of her/his decision to support or not support the recommendation of the Academic Review and Professional Standards Committee.

STUDENT CONDUCT AND DISCIPLINE
When legal or illegal behavior does not affect current or potential clients, University students, faculty, or staff, but the behavior violates the mission, process, or function of the School of Social Work or the University, nonacademic proceedings will follow the University's procedures for misconduct. Information about the rules of conduct and due process for disciplinary procedures is published in the Rules and Regulations of The Board of Regents of The University of Texas System and the Handbook of Operating Procedures of the University of Texas at Arlington, copies of which are in the Offices of the Dean of the Office of Graduate Studies and the Dean of the School of Social Work. Information is also published in the University of Texas at Arlington Student Handbook.

GRADING POLICY
The School of Social Work complies with the University regulations on grading as published in the current The University of Texas at Arlington Graduate Catalog. The following information is provided in summary and students should refer to the official Graduate Catalog for complete information.
STUDENT ABSENCE POLICY
Students are expected to attend all class sessions. Unexcused absences during a semester can result in the lowering of the course grade at the discretion of the instructor.

PLAGIARISM
Academic honesty is highly prized at the School of Social Work. Plagiarism and the inappropriate use of an author's material are considered serious violations of scholarly and professional ethics.

Plagiarism can be defined as the failure to give proper credit to authors for their information, ideas, or words found in published or written materials, such as journals, books, monographs, handbooks, manuals, or other scholarly papers. Credit is considered complete if authors are identified in the text and in the reference list. Citations should contain all identifying information and conform to one of the style manuals for scholarly publications such as the Publication Manual of the American Psychological Association.

Additionally, students may not use five or more consecutive words from another source without properly citing and referencing the original author or authors. Quotations of five or more words from authors' published or written material must be

- enclosed in quotation marks if quotations contain fewer than 40 words or
- indented five spaces on the left if the quotation contains more than 40 words.

Students may paraphrase the ideas of other sources, but students must also list the author(s) and date of publication in the text of students' written material and include all identifying information in the reference list. Paraphrasing from printed materials is appropriate if students' wording contains the authors' correct ideas and information and the authors are properly cited by name, date of publication and so forth.

Paraphrasing is considered plagiarism if students' written material is similar to form and word structure of authors' original works. For example, plagiarism exists if a student copies an author's sentences or paragraphs but changes every fifth word to avoid the rule on quotations mentioned above.

GRIEVANCES

The University of Texas at Arlington's official policy is as follows: (See Graduate Catalog)

Grievances Related to Grades.

The UT Arlington School of Social Work follows the policies and procedures of UT Arlington pursuant to grade grievances. Individual course instructors retain primary responsibility for assigning grades. The instructor’s judgment is final unless compelling information shows:

**Preferential Treatment**
Example: Providing exceptions or benefits to one or more students but not to all students in the class.

**Procedural Irregularities**
Example: Failure to follow a requirement described in a course syllabus, adding a new requirement, or using criteria for grades that are not on the syllabus or in the university catalog.
Grade grievances can only be filed for the above reasons. Only the final course grade may be appealed. There are no appeals for individual assignments and assignments will not be re-graded.

Any grievances alleging discrimination committed by faculty should be referred to the Equal Opportunity Services for investigation.

If information warrants an appeal, the order of academic channels are:
- Instructor
- Coordinator, Office of Advising & Student Success
- Professional Standards Committee
- Dean of the School of Social Work

The student has one calendar year from the date the grade is assigned to initiate the grievance.

Specific Steps

Step 1: The student and the instructor (assigning the grade) meet to discuss the grade assignment. In attempting to resolve a grade grievance, the student must first make a serious effort to resolve the matter with the instructor who issued the grade. If agreement as to the current or revised grade assignment can be finalized at this meeting, the process for grade appeal is discontinued.

Step 2: If agreement is not reached, the student meets with the Coordinator of the Office of Advising & Student Success within the School of Social Work to discuss the student’s intent to appeal.

The Coordinator of the Office of Advising & Student Success serves as the case manager for the Professional Standards Committee during the Grade Grievance Process. The role of the Coordinator of the Office of Advising & Student Success is to:

- Explain the grade grievance policy to the student, particularly legitimate bases for grade grievances (i.e. preferential treatment, procedural irregularities).
- Direct the student to the required forms and explain the necessity of supporting a grievance with evidence.
- Receive the written grade grievance from the student.
- Notify the instructor assigning the grade that a grade grievance has been filed by the student and request a written response from the instructor within two weeks of notification.
- Forward the material to the Chair of the Professional Standards Committee.

Step 3: Professional Standards Committee Review

The Professional Standards Committee has 60 days from the time the information is received from the Coordinator of the Office of Advising & Student Success to make a determination.

If necessary, the Chair of the Professional Standards Committee may request additional information from the student and instructor.

The Chair of the Professional Standards Committee must send the grade grievance information in its entirety (including student and instructor information) to the Professional Standards Committee members 5 days before the scheduled committee meeting.

Committee Meeting: After consideration of the student’s grievance, the Professional Standards Committee will deliberate as a group and make a decision concerning the grievance and a determination.
whether the grade grievance is substantiated or unsubstantiated. The Chair of the Professional Standards Committee will notify the student and the instructor of the determination.

The Chair of the Professional Standards Committee will notify the student of its decision in an email to the student’s official MavMail account within 10 business days of consideration of the grievance. The email will contain a PDF copy of the signed decision letter on UT-Arlington stationary and a receipt indicating the email was read will be required.

The Chair of the Professional Standards Committee or his/her designee will keep appropriate documentation of all materials and minutes of the Committee Meeting.

A summary of the Grade Grievance process will include:

- Basis of the student’s appeal
- Faculty response to the appeal
- Decision of the Committee and rationale for the decision

Step 4: Dean’s Review

Should a student disagree with the Professional Standards Committee’s decision, s/he should contact the Coordinator of the Office of Advising & Student Success. The Coordinator will forward documentation to the Dean for an additional review. The Dean has 30 days to conduct this additional review of the committee’s decision.

The grievance process ends with the Dean; there is no further appeal. The appeal must specifically state the reasons the student believes that the decision of the Professional Standards Committee is incorrect.

Grievances Other Than Grades

In attempting to resolve graduate student’s grievances, the student must first make a serious effort to resolve the matter with the individual with whom the grievance originated. Grievances involving matters other than grades are appealed to the department chair or office director, then to the Office of Graduate Studies (except in personnel matters, in which cases the appeal is to the Provost unless questions regarding a graduate assistant or graduate associate are involved), Vice President for Business Affairs, or Vice President for Undergraduate Academic and Student Affairs, as determined by the nature of the grievance.

If the matter remains unresolved at this level, the student may appeal to the Provost. The decision of the Provost is final. (For grievances involving grades, see the catalog entry titled Grievances Related to Grades.)

Grievances Related to Discrimination or Sexual Harassment

Grievances alleging discrimination or sexual harassment committed by faculty, staff or students should be referred to the Office of Equal Opportunity and Affirmative Action for investigation. Their web site provides information on what constitutes discrimination or harassment and what steps students, faculty and staff may follow to address such situations and receive protection under University policy and State and Federal law.
ADMINISTRATIVE INFORMATION SCHOOL OF SOCIAL WORK

PHD LISTSERV
There is an internet mailing list available for faculty and students to share information or announcements. To subscribe to the mailing list, send the program office assistance a message requesting access to the listserv neka50@uta.edu and include your student email account address and full name.

To unsubscribe, send an email to listserv@listserv.uta.edu contact the PhD Program Office at 817-272-3928 or email to neka50@uta.edu.

CHANGE OF ADDRESS OR NAME
Important information is often mailed to students and it is required that the student see that their name and address on record are current. Students who change their residence, mailing address or name should notify the list below:

- MyMav student account
- The Registrar's Office - Davis Hall
- The School of Social Work - PhD Office, Bldg A, Room 313, SSW Complex

POLICY ON THE USE OF SCHOOL STATIONERY
All research communications using school letterhead are to be approved by the PhD Director. Written request is to be submitted to the Director by the faculty person supervising the work of the student. All stationery and mailing costs for student research are the responsibility of the student.

RECEPTIONIST/INFORMATION CENTER

Receptionist
The receptionist, located in Dean’s Suite 211, can provide information about faculty office locations, etc.

Telephone Calls for Students
When a student receives a telephone call, the receptionist will put a message about the call in the student's mailbox. Only in an emergency situation will a student be personally located and/or class interrupted to relay telephone call messages.

UTA Inclement Weather Information
During the winter months, in cases of severe weather conditions where roads are dangerous, the Provost may decide to close the University. In the event classes are cancelled or postponed or University offices are closed or have a delayed opening due to bad weather, the very latest status is available on the UTA Home Page http://www.uta.edu/ as soon as the decision is made. You may also listen to local broadcast media for information about closings or delays or call the University's Emergency Information Hotline at 1-866-258-4913.

Lost and Found Items
The receptionist in Room 211 (Dean’s Suite) maintains a file of lost and found items left in classrooms.
or other areas of the Social Work Complex. Check with the receptionist if you have misplaced something or if you want to turn in an item you have found.

MAILBOXES and MESSAGES

Student Mailboxes
PhD student mailboxes are located in the PhD Study Room, Building A, 311. Each local residential student is assigned a mailbox which is identified by the student's name above his or her mailbox.

Students are advised to check their mailboxes each time they are in the building. Important information and correspondence from administrative personnel and faculty, telephone messages and returned graded class papers, etc. are put in students' boxes.

Faculty Mailboxes
Students may leave messages and other materials for faculty with the SSW Receptionist in Suite 211 for placement in faculty mailboxes. There is a mail drop on the door of Suite 201 in which materials for faculty may be placed after hours. Items left in this drop box are distributed to faculty mailboxes each morning. Important papers, books, etc. should be given directly to faculty members rather than left in their mailboxes. All mail received that is addressed to you will be put in the PhD Program’s Administrative Assistant’s box in SWC A203. She or he will deliver it to your mailbox in SWC A311. If the item is too large or is visibly in need of “security”, it will be held in the PhD program office.

UTA Campus Directory
A directory with telephone numbers and locations of all campus departments, along with student and faculty telephone numbers, is available to students. Directories may be obtained from the Student Congress (lower level, E. H. Hereford University Center) or the Campus Bookstore.

LIBRARIES

UTA Library Hours
All library hours can be obtained by visiting http://www.uta.edu/library/hours/ or by calling the Central Library at 817-272-3000

UTA Social Work Contact
John Dillard - Social Work Librarian, Central Library, office 410, 817-272-7518, dillard@library.uta.edu

Other Library Information

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<th>Southern Methodist University</th>
<th>University of Texas at Dallas</th>
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<td>(General Library--Fondren)</td>
<td>(972) 883-2953</td>
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<td>(214) 768-2326</td>
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Texas Christian University    U.T. Southwestern Medical Center at Dallas
(817) 257-7117                 South Campus (214) 648-2001
North Campus (214) 645-6191
STUDENT PARKING AREAS
Students register their cars online and pay in a single payment for the entire school year or the balance of the school year in which they register, whichever is applicable.

The campus police number is *817-272-3381*. CAMPUS POLICE OFFICERS CHECK PARKING LOTS REGULARLY and students will be ticketed for parking in areas not designated for student parking.

The entire parking lot located to the east of the Social Work Complex and a row in the lot to the north of the complex is designated for student parking. Handicap parking is available directly in front of the covered walkway that connects the main building (Bldg. A and Building B).

BULLETIN BOARDS/POSTINGS
There are several bulletin boards in various locations in the Social Work Complex which have information posted that is of interest to students.

- A bulletin board containing information of interest to PhD students is located on the 1st floor outside Suite 101 of Building A and in the PhD Study Room 311A (on the third floor next to PhD Program Office).
- The bulletin board located at the opposite end of the hallway on the 2nd floor of Building A is divided into two sections. One section of this bulletin board is used for postings from the Office of the Dean. The other section is used for postings from Field Office.
- A "Student Organization Bulletin Board" is located in the student lounge in Building B.
- Class schedules are posted in the hallway of the main entry way which shows the room locations and instructors of all classes for the given semester.
- Televisions are placed on all three floors of Bldg. A. They provide current information and activities occurring in the School of Social Work and the UTA campus.

STUDENT ACTIVITIES AND SERVICES STUDENT REPRESENTATION
The Graduate Student Council
Graduate Students are represented at the University of Texas at Arlington by the Graduate Student Council. Doctoral Students in Social Work elect one representative in September. The web site for the Graduate Student Council is: http://www.uta.edu/student-orgs/sg/gsc.

The PhD Program Committee
Two PhD students are elected by the PhD student body in September to serve on the PhD Committee and represent student interests.
School of Social Work Committees
Student representatives of committees are elected through the Student Constituency Council. Contact the Council office in Building B, School of Social Work, by phone (817)272-3534 or via the Council mailbox in the faculty mailroom.

Doctoral Student Association (DSA)
(DSA) is comprised of all doctoral students in the School of Social Work at UT Arlington. The primary goal of the program is to facilitate communication among students across cohorts as well as host events to promote interaction between doctoral students and faculty members. The DSA has two faculty advisors. The student administrators serve yearly terms and elections are held in the spring of each year. The DSA programs include:

- **Mentoring program**: First year doctoral students are assigned a doctoral student mentor. These mentors act as an additional support system for incoming students and act as a buffer against the rigor of the first year of doctoral study.
- **Brown Bags**: Monthly speakers/panels on topics of interest and importance to doctoral students.
- **Faculty-Student Gatherings**: Periodically throughout the academic year, the DSA organizes gatherings for doctoral students and faculty members. These gatherings are an opportunity for doctoral students to interact and get to know faculty members outside of the university setting.

Office of Advising and Student Success
The Office of Advising and Student Success assists and supports students regarding:
- Student retention- developing Student Success Plans
- Students struggling with academic or personal difficulties
- Refers/links students to other resources which may be appropriate
- Getting students involved in SSW activities and UTA activities
- Provides workshops on various topics to assist students in being successful
- Career exploration & connection to UTA Career Services
- Crisis management of student issues
- Scholarship application process
- Faculty advisor for the Social Work Constituency Council
- Faculty advisor for Phi Alpha Honor Society
- Orientation
- Weekly student e-newsletter
- Student leadership
- Provides assistance for Professional Standards-Policies and Procedures
- Provides assistance for Grade Grievance Procedures
- Student Success Referrals
- Member of Student Relations Committee
- Point of contact is:
  - Jennifer Malone, Program Coordinator, Office of Advising and Student Success, 817-272-7232 jermalone@uta.edu

Student Lounge
A student lounge is for the use of all students in the School of Social Work and is located in the middle section Bldg B. The lounge contains tables/chairs, booths, vending machines, microwave oven, hardware charging sites. It is usually unlocked and available from 8am 5pm Monday through Friday.
Doctoral Student Study Room
Located on the 3rd floor in building A of the Social Work Complex, Room 311 has been designated as a study room for doctoral students. It is equipped with computers. Some doctoral classes may be held in this room. The computers are protected by a digital lock on the door. If you forget the code, check with the PhD Program Office in Room 313C.

UTA Central Library Carrels
Carrel applications are available in the Information Support Services Office, Room 101-E, on the first floor of the Central Library. Office hours are 8:00 a.m. to 5:00 p.m., Monday through Friday.

Faculty Positions
Notices of faculty positions received from schools are forwarded to the PHD Listserv for all students to view.

Conference Notices and Call for Papers
Notice of regional and national conferences are sent to the PhD Listserv. Calls for abstracts for conference presentations and papers for publications are also sent to the PhD Listserv.
APPENDIX A

GRIEVANCES RELATED TO GRADES
The UT Arlington School of Social Work follows the policies and procedures of UT Arlington with regards to grade grievances. Individual course instructors retain primary responsibility for assigning grades. The instructor’s judgment is final unless compelling information shows:

Preferential Treatment
Example: Providing exceptions or benefits to one or more students but not to all students in the class.

Procedural Irregularities
Example: Failure to follow a requirement described in a course syllabus, adding a new requirement, or using criteria for grades that are not on the syllabus or in the university catalog.

*Grade grievances can only be filed for the above reasons. Only the final course grade may be appealed. There are no appeals for individual assignments and assignments will not be re-graded.*

*Any grievances alleging discrimination committed by faculty should be referred to the Office of Equal Opportunity and Affirmative Action for investigation.*

If information warrants an appeal, the order of academic channels are:

Instructor
MSSW Program Director, PhD Program Director, and/or the Director of Field. Professional Standards Committee
MSSW Program Director or PhD Program Director Dean of the School of Social Work
Dean of Graduate Studies
The student has one calendar year from the date the grade is assigned to initiate the grievance.

To review the Specific Steps of the grievance policy for the SSW please visit:

http://www.uta.edu/ssw/student-resources/policies-and-procedures-ssw.php
APPENDIX  B

FACULTY RESEARCH INTERESTS
Gail Adorno
Assistant Professor
PhD, Florida State University
End-of-life and palliative care, geriatric oncology, health and social work, identity theory, qualitative methods
Building A, 112C; Email: gfadorno@uta.edu

Anne Bain-Nordberg
Assistant Professor
PhD, University of Michigan Mental health, racial disparities
Building A, 208B; Email: annenordberg@uta.edu

Randall Basham Associate Professor
PhD, University of Tennessee
Program and practice evaluation, research methods, information technology, health and behavioral health aging, child welfare and disaster response, service delivery and, group measurement, as well as international issues, and sustainability.
Building A, 101C; Email: basham@uta.edu

Beverly Black
Jillian Michelle Smith Professor in Family Violence Research and Director of PhD Program
PhD, University of Texas at Austin
Violence, prevention programming, dating violence, domestic violence, sexual assault. Building A, 313A; E-mail: beverlyblack@uta.edu

John Bricout
Professor
PhD, Virginia Commonwealth University
Social technologies and the community participation of people with disabilities; university-community research partnerships
A 201E; Email: johnbricout@uta.edu

Norman H. Cobb
Associate Professor and Distinguished Teaching Professor
PhD, University of California at Berkeley.
Mental health treatment, cognitive and behavioral theory; decision making; professional ethics. Building A, 204; Email: cobb@uta.edu

Courtney Cronley Assistant Professor
PhD, University of Tennessee, Knoxville
Homelessness; community development; organizational change; program evaluation; community-based research; implementation of new technologies within social systems; service learning.
Building A, 208E; Email: cronley@uta.edu
Noelle Fields  
Assistant Professor  
PhD, The Ohio State University  
Aging in place, caregiving, adult day care  
Building A, Room 112, Email: noellefields@uta.edu

Rebecca L. Hegar  Professor  
PhD, Tulane University.  
Child welfare, kinship care, supervision & mid-level management, social work history, social work and law.  
Building A, 112D; Email: rhegar@uta.edu

Richard Hoefer  
Roy E. Dulak Professor for Community Practice Research & Director of the Center for Advocacy, Nonprofits, and Donor Organizations  
PhD, University of Michigan (Social Work and Political Science).  
Program evaluation; nonprofit management; social policy; comparative social policy; and nonprofit advocacy.  
Building A, 214; Email: rhoefer@uta.edu

Catheleen Jordan  
Cheryl Milkes Moore Professor in Mental Health Research  
PhD, University of California at Berkeley  
Child and family assessment, treatment and clinical research.  
Building A, 317B, Email: jordan@uta.edu

Michael Killian  Assistant Professor  
PhD, Florida State University  
Social work practice with children and families, pediatric chronic illnesses and adherence to medical regimens, quality of life and long-term health outcomes in pediatric chronic illnesses  
Building A, 201B, Email: killianm@uta.edu

Peter Lehmann  Professor  
PhD, Wilfrid Laurier University  
Domestic violence and offender populations; solution focused therapy evaluation, strengths-based research.  
Building A, 101B; Email: plehmann@uta.edu

Diane Mitschke  
Associate Professor and Director MSW Program  
PhD, University of Hawaii  
Health and mental health of vulnerable populations; refugee and immigrant health and wellness  
Building A, 301D; Email: dianemitschke@uta.edu

Vijayan Pillai  Professor  
PhD, The University of Iowa.  
Adolescent social problems, reproductive health, national and international social policy.  
Building A, 112A; Email: pillai@uta.edu
Phillip Popple  
Professor  
PhD, Washington University.  
Child welfare, community development, and social work policy. Building A, 101D, Email: prpopple@uta.edu

Regina Praetorius  
Associate Professor and BSW Program Director  
PhD, Louisiana State University.  
Suicide prevention, Trauma, Military, Qualitative Interpretive Meta-synthesis (QIMS), health disparities.  
Building A, 301B; Email: rtpaguirre@uta.edu

Scott Ryan  
Jenkins Garrett Professor and Dean of the School of Social Work  
PhD, Case Western Reserve University  
Leadership in higher education, child welfare/adoptions, intervention research, systematic review syntheses and survey methodology.  
Building A, 211G; Email: sdryan@uta.edu

Katherine Sanchez  
Assistant Professor  
PhD, The University of Texas at Austin  
Integrated health care, treatment of mental health in primary care settings, mental health issues of Latino populations, linguistic competency in mental health services, motivational interviewing, and multilingual family issues.  
Building A, 208C; Email: KSanchez@uta.edu

Maria Scannapieco  
Professor and Director of the Center for Child Welfare.  
PhD, University of Minnesota at Minneapolis.  
Child welfare; implementation; Indian child welfare; kinship care; university/agency collaborations.  
Building B, 101C, Email: mscannapieco@uta.edu

Eusebius Small  
Assistant Professor  
PhD, University of Houston  
International Social Work, the Intersection of HIV and contextual social norms, adolescent risk behaviors, comparative social policy  
Building A., 201C; Email: small@uta.edu

Alexa Smith-Osborne  
Associate Professor & Director of the Center for Clinical Social Work  
PhD, University of Maryland  
Intervention, life course trajectory anomalies, resiliency research military and veterans’ health/mental health, child and adolescent health/mental health, maternal and child health.  
Building A, 208; Email: alexaso@uta.edu
Debra Woody
Associate Professor; Associate Dean for Academic Affairs and Student Success; Director of the Center for Addictions and Recovery Studies.
PhD, Virginia Commonwealth University. Substance abuse, school based social work services. Building A, 211E; Email: debwoody@uta.edu

Ling Xu
Assistant Professor
PhD, University of Southern California
Intergenerational support and healthy aging, health disparity, health care utilization, acculturative stress, social support and wellbeing of older adults, Asian American older adults
Building A, 101E, Email: lingxu@uta.edu
APPENDIX C

SELECTED REFERENCES
SELECTED REFERENCES

You may find the following helpful to assist with your dissertation proposal and generally with the process of obtaining a doctoral degree:


APPENDIX  D

CODE OF ETHICS
NASW CODE OF ETHICS

Overview
Approved by the 1996 NASW Delegate Assembly and revised by the 2008 NASW Delegate Assembly
The NASW Code of Ethics is intended to serve as a guide to the everyday professional conduct of social workers. This Code includes four sections. The first Section, "Preamble," summarizes the social work profession's mission and core values. The second section, "Purpose of the NASW Code of Ethics," provides an overview of the Code's main functions and a brief guide for dealing with ethical issues or dilemmas in social work practice. The third section, "Ethical Principles," presents broad ethical principles, based on social work's core values, that inform social work practice. The final section, "Ethical Standards," includes specific ethical standards to guide social workers' conduct and to provide a basis for adjudication.

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:
The Code identifies core values on which social work’s mission is based.
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.
The Code is designed to help social workers identify relevant considerations when professional obligations conflict or ethical uncertainties arise.
The Code provides ethical standards to which the general public can hold the social work profession accountable.
The Code socializes practitioners new to the field to social work’s mission, values, ethical principles, and ethical standards.
The Code articulates standards that the social work profession itself can use to assess whether social workers have engaged in unethical conduct. NASW has formal procedures to adjudicate ethics complaints filed against its members.* In subscribing to this Code, social workers are required to cooperate in its implementation, participate in NASW adjudication proceedings, and abide by any NASW disciplinary rulings or sanctions based on it.

The Code offers a set of values, principles, and standards to guide decision making and conduct when ethical issues arise. It does not provide a set of rules that prescribe how social workers should act in all situations. Specific applications of the Code must take into account the context in which it is being considered and the possibility of conflicts among the Code’s values, principles, and standards. Ethical responsibilities flow from all human relationships, from the personal and familial to the social and professional.

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

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

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

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

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

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

Ethical Principles

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

Value: Service

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

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

Value: Social Justice

Ethical Principle: Social workers challenge social injustice.

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

Value: *Dignity and Worth of the Person*

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

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

Value: *Importance of Human Relationships*

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

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

Value: *Integrity*

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

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

Value: *Competence*

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

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

**Ethical Standards**

The following ethical standards are relevant to the professional activities of all social workers. These standards concern (1) social workers’ ethical responsibilities to clients, (2) social workers’ ethical responsibilities to colleagues, (3) social workers’ ethical responsibilities in practice settings, (4) social workers’ ethical responsibilities as professionals, (5) social workers’ ethical responsibilities to the social work profession, and (6) social workers’ ethical responsibilities to the broader society. Some of the standards that follow are enforceable guidelines for professional conduct, and some are aspirational. The extent to which each standard is enforceable is a matter of professional judgment to be exercised by those responsible for reviewing alleged violations of ethical standards.

### 1. SOCIAL WORKERS’ ETHICAL RESPONSIBILITIES TO CLIENTS

1.1 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.)

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

1.3 Informed Consent
(a) Social workers should provide services to clients only in the context of a professional relationship based, when appropriate, on valid informed consent. Social workers should use clear and understandable language to inform clients of the purpose of the services, risks related to the services, limits to services because of the requirements of a third-party payer, relevant costs, reasonable alternatives, clients’ right to refuse or withdraw consent, and the time frame covered by the consent. Social workers should provide clients with an opportunity to ask questions.
(b) In instances when clients are not literate or have difficulty understanding the primary language used in the practice setting, social workers should take steps to ensure clients’ comprehension. This may include providing clients with a detailed verbal explanation or arranging for a qualified interpreter or translator whenever possible.
(c) In instances when clients lack the capacity to provide informed consent, social workers should protect clients’ interests by seeking permission from an appropriate third party, informing clients consistent with the clients’ level of understanding. In such instances social workers should seek to ensure that the third party acts in a manner consistent with clients’ wishes and interests. Social workers should take reasonable steps to enhance such clients’ ability to give informed consent.
(d) In instances when clients are receiving services involuntarily, social workers should provide information about the nature and extent of services and about the extent of clients’ right to refuse service.
(e) Social workers who provide services via electronic media (such as computer, telephone, radio, and television) should inform recipients of the limitations and risks associated with such services.
(f) Social workers should obtain clients’ informed consent before audiotaping or videotaping clients or permitting observation of services to clients by a third party.

1.4 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.

1.5 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.

1.6 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.

1.7 Privacy and Confidentiality
(a) Social workers should respect clients’ right to privacy. Social workers should not solicit private information from clients unless it is essential to providing services or conducting social work evaluation or research. Once private information is shared, standards of confidentiality apply.
(b) Social workers may disclose confidential information when appropriate with valid consent from a client or a person legally authorized to consent on behalf of a client.
(c) Social workers should protect the confidentiality of all information obtained in the course of professional service, except for compelling professional reasons. The general expectation that social workers will keep information confidential does not apply when disclosure is necessary to prevent serious, foreseeable, and imminent harm to a client or other identifiable person. In all instances, social workers should disclose the least amount of confidential information necessary to achieve the desired purpose; only information that is directly relevant to the purpose for which the disclosure is made should be revealed.
(d) Social workers should inform clients, to the extent possible, about the disclosure of confidential information and the potential consequences, when feasible before the disclosure is made. This applies whether social workers disclose confidential information on the basis of a legal requirement or client consent.
(e) Social workers should discuss with clients and other interested parties the nature of confidentiality and limitations of clients’ right to confidentiality. Social workers should review with clients circumstances where confidential information may be requested and where disclosure of confidential
information may be legally required. This discussion should occur as soon as possible in the social worker-client relationship and as needed throughout the course of the relationship.

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

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

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

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

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

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

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

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

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

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

1.8 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.

1.9 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

2.1 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.

2.2 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.

2.3 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.

2.4 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.

2.5 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.

2.6 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.

2.7 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.

2.8 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.

2.9 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

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

3.2 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.

3.3 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.

3.4 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.

3.5 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.

3.6 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.

3.7 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.

3.8 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.

3.9 Commitments to Employers
(a) Social workers generally should adhere to commitments made to employers and employing organizations.
(b) Social workers should work to improve employing agencies’ policies and procedures and the efficiency and effectiveness of their services.
(c) Social workers should take reasonable steps to ensure that employers are aware of social workers’ ethical obligations as set forth in the *NASW Code of Ethics* and of the implications of those obligations for social work practice.

(d) Social workers should not allow an employing organization’s policies, procedures, regulations, or administrative orders to interfere with their ethical practice of social work. Social workers should take reasonable steps to ensure that their employing organizations’ practices are consistent with the *NASW Code of Ethics*.

(e) Social workers should act to prevent and eliminate discrimination in the employing organization’s work assignments and in its employment policies and practices.

(f) Social workers should accept employment or arrange student field placements only in organizations that exercise fair personnel practices.

(g) Social workers should be diligent stewards of the resources of their employing organizations, wisely conserving funds where appropriate and never misappropriating funds or using them for unintended purposes.

3.10 Labor-Management Disputes

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

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

4. SOCIAL WORKERS’ ETHICAL RESPONSIBILITIES AS PROFESSIONALS

4.1 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.

4.2 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.

4.3 Private Conduct

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

4.4 Dishonesty, Fraud, and Deception

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

4.5 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.

4.6 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.

4.7 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.

4.8 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

5.1 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.
5.2 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

6.1 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.

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

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

6.4 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.

The full document can be found at: http://info.sos.state.tx.us/pub/plsql/readtac$ext/viewtac
APPENDIX E

GRIEVANCE RELATED TO GRADES
The University of Texas at Arlington School of Social Work

Grievances Related to Grades Graduate Appeal Form

Student Information
(Type Only)

Student's Name_________________________________________ Student I.D. __________

Street __________________________________________________________

City_________________________________________________________ State_________ Zip __________

Telephone Numbers:

Home_________________________ Work__________________________ Cell ______________

UTA Email Address ________________________________________________

Select one of the following:

Graduate (MSW) _____

Doctorate (PhD)_______

The student has one calendar year from the date the grade is assigned to initiate the grievance.

Grade Grievance Information
(Type Only)

Have you attempted to resolve the dispute with your instructor?

Yes ________ No ________

If you answered NO to the above question, please see your instructor and try to resolve this dispute. The appeal cannot proceed until you have done this.

1. Instructor's name ___________________________
2. Course number and Section number_________________Grade received ______

3. Semester ___________________________ Year ___________________________

3. State specifically the grade you are appealing and the action you are now requesting?

4. Indicate the basis of your grade grievance by checking one or more of the following:

    Preferential treatment

    _____ Procedural irregularity

5. Provide the following supporting evidence (attach to this form):

    Course syllabus

    _____ Grade Report from Blackboard noting grades on all assignments

    _____ Email communications with the instructor regarding issue (if applicable)

    _____ Blackboard Discussion Board communications with the instructor regarding issue (if applicable)

6. In 50 words or less, please explain why you believe the instructor has exhibited differential treatment or procedural irregularity (your choice in #5). You may attach additional sheets if you wish that specifically address actions you have requested of your instructor and outcomes of the request.

Student's Signature ___________________________ Date ________

Coordinator, ___________________________ Date ________
Office of Advising and Student Success