

PHD STUDENT MANUAL

2008/2009

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INTRODUCTION

Welcome to the Silver School of Social Work and its Ph.D. program! This manual is intended to provide you with important information about all aspects of the Ph.D. program, and to acquaint you with many of the procedures and requirements of the Silver School of Social Work and New York University. You should read through it before you begin the program. But because the manual contains answers to many of the questions that you many have as you progress through the program, you should also keep it handy for future reference. However, the manual is updated every year; you should make sure that the version you refer to is the one for the current academic year. In addition to the guidelines described in this manual, we also advise you to read through the *NYU Students Guide* (www.nyu.edu/student.affairs/students.guide), which articulates the University's Policy on Student Conduct and many other important policies. Students at the Silver School of Social Work are also expected to adhere to the National Association of Social Workers' *Code of Ethics* (1999), which is available at [<www.socialworkers.org/pubs/Code/code.asp>](http://www.socialworkers.org/pubs/Code/code.asp). Additional information about the Silver School is available on its website (www.nyu.edu/socialwork).

ESSENTIAL ABILITIES AND ATTRIBUTES FOR SOCIAL WORK STUDENTS

Students at the Silver School of Social Work are expected to possess the following abilities and attributes at a level appropriate to their program. These physical, cognitive, emotional and character requirements provide reasonable assurance that students can complete the entire course of study and participate fully in all aspects of social work education and practice. Students are expected to meet these standards in the classroom, in their practica, and elsewhere. Attention to these standards will be part of evaluations made by faculty during students' course of study. Acquisition of competence as a social worker is a lengthy and complex process that will be undermined by significant limitations of the student's ability to participate in the full spectrum of the experiences and the requirements of the curriculum.

Motor Abilities: Social work students need to have sufficient motor abilities to attend class and practicum placement with or without technical accommodation. Reasonable accommodation through technology for limitations in motor abilities will be allowed. The Moses Center for Students with Disabilities may be consulted regarding reasonable accommodations.

Sensory Abilities: Social work students need to have the ability through their senses to participate in classes and practicum placement and to acquire and integrate data through use of their senses with or without technical accommodation. Reasonable accommodation through technology for limitations in sensory abilities will be allowed. The Moses Center for Students with Disabilities may be consulted regarding reasonable accommodations.

Communication Skills: Social work students need to communicate effectively with other students, faculty, staff, clients and other professionals. Students should be able to express their ideas and feelings clearly and demonstrate a willingness and ability to listen to others. They must have sufficient skills in spoken and written English to understand program content.

Professional Commitment: Social work students need to possess a commitment to the values and ethical standards of professional social work. They are expected to be knowledgeable about and adhere to the National Association of Social Workers *Code of Ethics*.

Knowledge Base Of Social Work Practice: Social work students need to recognize the distinctive components of the biopsychosocial perspective of social work practice and social work methodologies. They are expected to use this knowledge in guiding their work with clients and other professionals.

Self-Awareness: Social work students need to know how their values, attitudes, beliefs, emotions and past experiences affect their thinking, behavior and relationships. Students must be willing to examine and change their behavior when it interferes with working with clients and other collaborative professional relationships.

Empathy: Social work students need to comprehend another individual's way of life and values. They must be able to communicate this empathy and support to the client as a basis for a productive professional relationship.

Objectivity: Social work students need to be objective in systematically evaluating clients and their situations.

Valuing Diversity: Social work students need to appreciate and value human diversity. They must serve in an appropriate manner all persons in need of assistance, regardless of the person's age, class, race, ethnicity, religious affiliation, gender and its expression, ability, sexual orientation, and value system.

Interpersonal Skills: Social work students need to demonstrate the interpersonal skills to relate effectively and sensitively to students, faculty, staff, clients and other professionals.

Leadership: Social work students need to show initiative in making professional contributions in their practice setting.

Self-Care: Social work students need to recognize the signs of stress, develop appropriate means of self-care, and seek supportive resources if necessary.

Professional Behavior: Social work students need to behave professionally by knowing and practicing within the scope of social work, adhering to the *Code of Ethics*, respecting others, being punctual and dependable, prioritizing responsibilities, and completing assignments on time.

THE SCHOOL'S FACILITIES

The School's faculty and administrative offices are located within the Ehrenkranz Center, which consists of three historically significant Greek Revival buildings located at 1, 2, and 3 Washington Square North. While these 1830s townhouses – part of the famous “Row” described in several Henry James novels – have been modernized and the interiors combined, many attractive architectural details have been preserved. Of particular historical note is the Hopper Studio on the fourth floor, in which the famous artist Edward Hopper’s easel and other artifacts can be seen.

Regarding building operations, please note the following guidelines:

The entrance to the Ehrenkranz Center is located on University Place. The building is open and staffed by a receptionist or Protection Services guard Monday through Friday from 8:00 am until 10:00 pm, and Saturday 8:00 am to 4:00 pm. Students are required to show ID cards at all times to gain access to all campus facilities including the Ehrenkranz Center.

The School is wheelchair accessible via an alternate ramp entrance on University Place and by an elevator inside. Since the elevator is small, we ask those who are able to please use the stairs so the elevator will be available for those who truly need it.

The student lounge is located on the garden level of the Ehrenkranz Center. Since the direct entrance from the street is locked at all times, the lounge can only be accessed through the School’s main entrance on University Place.

Smoking is strictly prohibited inside the Ehrenkranz Center, and University policy prohibits the consumption of food and beverages in classrooms.

Although the University rarely closes or cancels classes there are occasions such as weather emergencies when it is necessary to close the building. For relevant information updates, call (212) 998-1220 or consult the University website (www.nyu.edu).

If the fire alarm should sound it is imperative that students exit the building promptly via the nearest marked exit unless otherwise instructed by School personnel. If students, faculty and staff do not leave, the School will be in violation of the University’s fire code and may be subject to a fine. All occupants must leave the building even if they think it is a fire drill.

ADMINISTRATORS AND FULL-TIME FACULTY

Administrators (partial listing)

Michael A. Baker
Executive Director, Office of Research, Planning, and Communications

Mark S. Callahan
Associate Dean, Finance and Administration

Christine Campbell
Assistant Director, MSW Program Services

Byron Cortes
Financial Aid Assistant

Suzanne England
Dean

Tandayi Jones
PhD Program Administrative Aide

James I. Martin
Director, PhD Program

Maryellen Noonan
Associate Dean, Academic Programs and Director, MSW Program

Courtney O'Mealley
Director, Student and Alumni Affairs

Dina J. Rosenfeld
Assistant Dean and Director, Undergraduate Program

James Sholes
Manager, Enrollment Services

Robert Sommo
Assistant Dean, Enrollment Services

Helle Thorning
Assistant Dean, Field Learning & Community Partnerships

Eileen Wolkstein
Director, Division of Life Long Learning & Professional Development

Full-time Faculty

Theresa Aiello
Associate Professor
BA, MS, Juilliard; MSW, Hunter; PhD, New York

Patti Aldredge
Clinical Associate Professor
BS, Stephen F Austin; MSSW, Tennessee; PhD, Houston

Jeane W. Anastas
Professor
BLS, Boston University; MSW, Boston College; PhD, Brandeis

Karra Bikson
Assistant Professor
BA, California (Santa Cruz); MA, San Francisco State; MSW, PhD, California (Los Angeles)

Alma J. Carten
Associate Professor
BA, Ohio; MSW, Atlanta; PhD, Hunter

Suzanne England
Professor
BS, Pittsburgh; MSW, PhD, Illinois (Chicago); MBA, Tulane

Trudy B. Festinger
Professor
BA, Oberlin; MSW, California (Berkeley); DSW, Columbia

Martha Gabriel
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BA, Humboldt State; MSW, PhD, Smith

Daniel Gardner
Assistant Professor
BS, Cornell; MSW, Pennsylvania; PhD, Columbia

Susan Gerbino
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BA, St. Francis; MSW, Fordham; PhD, New York

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Professor
BA, Washington; MS, DSW, Columbia

Mary Ann Jones
Associate Professor
BA, Ohio State; MSW, Smith; DSW, Columbia

Gerald Landsberg
Professor
BA, Brooklyn; MSW, MPA, New York; DSW, Hunter

Yuhwa Eva Lu
Associate Professor
BEEd, National Taiwan Normal; MA, MSW, Wisconsin (Milwaukee); PhD, Claremont/San Diego State

Virgen Luce
Clinical Assistant Professor
BA, Lehman College; MSW, Hunter

James I. Martin
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BA, MSW, Michigan; PhD, Illinois (Chicago)

Linda G. Mills
Professor
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BA, Syracuse; MA, Chicago; DSW, Hunter

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Clinical Assistant Professor
BA, Virginia; MSW, MA, DrPH, Columbia

Peggy Morton
Clinical Associate Professor
BA, Colorado; MSW, DSW, Hunter

Duy Nguyen
Assistant Professor
BA, MSW, Washington University; PhD, Columbia

Maryellen Noonan
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BA, Good Counsel; MA, Chicago; PhD, New York

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Professor
BA, Kentucky; MA, Florida State; PhD, Wisconsin; MPH, Columbia

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Allison V. Werner-Lin
Assistant Professor
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Alice Wolson
Clinical Associate Professor
BA, Emerson; MSW, New York; DSW, Yeshiva

SCHOOL AND UNIVERSITY RESOURCES

Student ID

All students must have an NYU ID Card. You will need it to access all university buildings. Your University ID number and NetID are listed on the back of the card. You can also use it as a debit card (Campus Cash), but to do so you must open a debit account. Campus Cash is accepted throughout the NYU campus and by numerous local merchants. For more information about Campus Cash or your ID Card contact the NYU Card Center (212-443-CARD), or visit the web site (www.nyu.edu/nyucard).

NYUHome

NYUHome is your portal to all of the University's electronic resources and services. To activate your NYUHome account from any computer, go to <http://start.nyu.edu> and follow the instructions.

Albert

Albert is used to register for classes. In addition, access to information about your grades, class schedule and location, tuition balance due, and other information from the Registrar and Bursar is available through Albert. You can access Albert through the Academics tab on NYUHome.

Email

All students must have internet access and an NYU email account in order to keep current with information from the School and to complete work for some courses. Note that NYU email is web-based, so you can continue to use an Internet Service Provider other than NYU. However, if you generally use an email address other than your NYU account, it is extremely important that you indicate this email address on your NYUHome preferences so that email from the PhD program, School, and University can be forwarded to you. Note that most of the communication between the Program Office and students is conducted via email.

Information Technology Services

ITS is the University's central organization for technology-based services, including computer, telephone, and Internet. We strongly recommend that you familiarize yourself with the description of services and information for students provided on the ITS website (www.nyu.edu/its/students).

University Libraries

The portal for library services and information about NYU libraries is library.nyu.edu. Bobst Library, the main NYU library, is located at 70 Washington Square South (212-998-2500). Many of the library's services are accessible electronically through its portal on the web, such as the library catalogue (BobCat), numerous bibliographic databases including PsychInfo and Dissertation Abstracts, and Interlibrary Loan services. In addition, students can access the catalogues of the NYU Medical and Law libraries through the main library portal. NYU libraries subscribe to many journals that allow full text electronic access, allowing students to read and print a copy of articles from their home computer.

Bobst Library has approximately 100 individual study carrels that can be rented for use by Ph.D. students who have approved dissertation topics (i.e., you must be in the dissertation phase of the program). Information about renting study carrels is available at library.nyu.edu/services/lockers.html.

The librarian assigned to the Silver School is Arthur Tannenbaum (212-998-2604; arthur.tannenbaum@nyu.edu), who is available to assist students in accessing materials or learning to use library facilities.

Bookstores

Information about NYU Bookstores is available at www.bookstores.nyu.edu. The Main Bookstore is located at 18 Washington Place, between Greene and Washington Square East (212-998-4667). Social work texts are located on the lower level of the store. The bookstore will exchange or refund book purchases providing you return them within 14 days. After that you can sell your books for a minimal price.

The Computer Store is located at 242 Greene Street (212-998-4672). The store sells computer hardware, software, and accessories, and it also has a repair/service department. The store offers interest free loans for computers.

Ph.D. Program Blackboard

All students in the Ph.D. program are automatically enrolled as a user of the program's Blackboard, which is titled **SSW PhD Program (S90.1234.PhD)**. In order to access the Blackboard you must login to your NYU Home account and then select the "Academics" tab near the top of the page after the login is complete. The Blackboard should be listed under "Other Courses." Simply click on this link to access an electronic copy of this manual, announcements about student funding, calls for research assistance, academic and other job listings, dissertation-relevant information and forms, links to relevant social work and academic organizations, and other materials you may find helpful. If you are looking for research funding, a research assistant position, or an academic job, you should check the Blackboard listings regularly. You can also use the Blackboard to send email to other students in the program without needing to know their email addresses. Simply select the "Communication" tab within the program's Blackboard, and then "Send Email."

Ph.D. Program Forum

All Ph.D. students are also subscribed to the Ph.D. program electronic Forum, which can be used to ask a question of your fellow students, start a discussion, or organize an event. In order to post to the forum, address your email to <ssw-docstudents@lists.nyu.edu>. Remember that email sent to this address will go to *all subscribers*, so if you want to communicate with a particular person, don't use the forum. Instead, send that person email directly.

Doctoral Student Association

The Doctoral Student Association (DSA) is an organization that works to support and advocate for doctoral students at the Silver School. Because the DSA is new, details about it are not yet available.

The Henry and Lucy Moses Center for Students with Disabilities

The Moses Center, located at 240 Greene Street, 2nd floor (212-998-4980 phone, TTY; www.nyu.edu/csd), provides information and services to students with disabilities. Any student with a documented disability who needs to arrange reasonable accommodations must contact the course instructor and the Moses Center at the beginning of the semester. Accommodations cannot be made by an instructor without official documentation from the Moses Center.

Student Health Insurance

Most students are automatically enrolled in one of the University's student health insurance plans when they matriculate in a degree program. Information about coverage options, including waiver from coverage, is available on the Student Health Center webpage (www.nyu.edu/shc). Student Health Insurance Services can be contacted via email (health.insurance@nyu.edu) or phone (212-443-1020).

The National Association of Social Workers offers a group insurance program for members, which provides policies for individuals and families. For NASW membership information, call 212-668-0050 or visit the New York City chapter website (www.naswnyc.org).

Counseling and Behavioral Health Services/Wellness Exchange

All NYU students enrolled in a degree program can access Counseling and Behavioral Health Services, located at 726 Broadway, Suite 471. Information about CBH is available on its webpage (www.nyu.edu/sch/counseling). Services provided are sensitive to differences according to race/ethnicity, culture, and language, and they are LGBT affirmative. Students may call to make an appointment (212-998-4780) or visit during walk-in hours. You can also contact CBH via email (wellness.exchange@nyu.edu). In addition, students can call the Wellness Exchange (212-443-9999) if they need to talk to a professional at any time of day or night, seven days a week. Information about the Wellness Exchange is available on its webpage (www.nyu.edu/999).

Travel Stipends

Students who have an abstract accepted for presentation at the SSWR Annual Conference (see below) or the CSWE Annual Program Meeting (see below) may request a travel stipend of up to \$500. Travel stipends are not available for other conferences or for travel to the SSWR or CSWE conferences for students who are not presenting papers or posters. Students who wish to request a travel stipend should complete a Request for Travel Funds form, which is available on the PhD Program Blackboard, and submit it to the program's Administrative Aide.

ACADEMIC AND RESEARCH ORGANIZATIONS IN SOCIAL WORK

Caucus of LGBT Faculty and Students in Social Work

The Caucus is a networking and advocacy organization of social work faculty and doctoral students throughout North America who are lesbian, gay, bisexual, or transgender, or interested in LGBT issues. The Caucus meets twice each year, once at the annual CSWE conference (see below), and once at the annual SSWR conference (see below). Members are subscribed to its electronic forum and its official journal, *The Journal of Gay & Lesbian Social Services*. For membership contact the Chair, James Martin (james.martin@nyu.edu).

Council on Social Work Education

The Council on Social Work Education is recognized by the Council for Higher Education Accreditation as the sole accrediting agency for undergraduate and master's level social work education in the United States. Its main responsibility is therefore to promote and maintain the high quality of social work education. Members are encouraged to become active in social work education leadership by volunteering to serve on standing Commissions or Councils, or by holding elected office on the Board of Directors or National Nominating Committee. CSWE's conference, the Annual Program Meeting, is held in late October-early November. Doctoral students can attend the APM free of charge by working as a student volunteer for six hours. Anyone wishing to present a paper or poster session at the conference should follow the detailed instructions on the CSWE website (www.cswe.org). The deadline for conference abstracts is in late March. The CSWE website also maintains job listings for those seeking academic positions. CSWE members receive the quarterly *Journal of Social Work Education* and *CSWE Focus*, a monthly e-newsletter.

Institute for the Advancement of Social Work Research

The Institute for the Advancement of Social Work Research serves the research needs of the entire social work profession by promoting social work research conducted under the auspices of other academic and professional organizations. Support for IASWR is provided by CSWE (see above), SSWR (see below), the Association of Baccalaureate Social Work Program Directors (BPD) (www.bpdonline.org), the Group for the Advancement of Doctoral Education (GADE) (www.gadephd.org), the National Association of Deans and Directors of Schools of Social Work (NADD) (www.naddssw.org), and the National Association of Social Workers (NASW; www.naswdc.org). The IASWR listserv is a valuable resource for doctoral students and faculty who subscribe to it. The listserv alerts the social work community to opportunities for research funding and fellowships, conferences, calls for papers, and important new research findings. In addition IASWR periodically publishes reports on specific topics relevant to social work research.

Society for Social Work and Research

The Society for Social Work and Research is dedicated to the advancement of social work research. It promotes advances in the knowledge base of the social work profession and provides formal recognition of significant contributions to research by social workers. SSWR also advocates for increased research funding and research training programs. SSWR presents awards for distinguished scholarship each year. Of particular interest for doctoral students are the Doctoral Fellows and Outstanding Social Work Dissertation Awards. The annual conference, held in mid-January, is the leading forum for the presentation of research findings by social work faculty and doctoral students. Those who wish to present a paper or poster session at the conference should follow the guidelines detailed on the SSWR website (www.sswr.org). The deadline is in late April. Pre-conference workshops, offered in collaboration with the Institute for the Advancement of Social Work Research (see above), focus on the use of advanced methodologies and obtaining external funding for research. Students who volunteer eight hours of work at the conference receive free registration. SSWR publishes an annual newsletter, and its website maintains job listings for academic and research positions. SSWR members receive the bimonthly journal *Research on Social Work Practice*.

POLICY ON PLAGIARISM AND ACADEMIC INTEGRITY

A professional social work degree should represent genuine learning and readiness to undertake responsibilities that include adhering to the social work *Code of Ethics*. The degree's integrity must be carefully safeguarded. Faculty are responsible for helping students learn to understand and value other people's ideas, to use resources and conscientiously acknowledge them, and to develop and clarify their own thinking. In addition, all the usual academic norms addressing honesty in academic performance, such as following all of the rules involving examinations of any kind, must be scrupulously followed. Failure to do so can result in dismissal from the program.

All students are expected to pursue the highest standards of academic excellence and integrity. Students must adhere to the norms of a serious professional community. A student's responsibilities include the following:

- A duty to respect the efforts of others by submitting his or her own academic work and case recordings.
- A duty to acknowledge properly the efforts of others.
- A duty to safeguard and respect the property and rights of others.

Definition of Plagiarism

In order to make the rules with regard to what does and does not constitute a breach of academic ethics as clear as possible, the faculty have formally clarified the definition of plagiarism for the Silver School of Social Work as follows:

- Plagiarism constitutes both academic misconduct and a breach of professional trust.
- Plagiarism is presenting someone else's work, either academic or field related, as though it were your own.
- More specifically, plagiarism is to present as your own a sequence of words quoted without quotation marks from another writer; a paraphrased passage from another writer's work; facts or ideas gathered, organized, and reported by someone else, orally and/or in writing, without attribution.
- Since plagiarism is a matter of fact, not of the student's intention, it is crucial that acknowledgment of sources be accurate and complete.
- Even where there is no conscious intention to deceive, the failure to make appropriate acknowledgment constitutes plagiarism.

Ways to Avoid Plagiarism

- When someone else has said something so well that you want to include it in your work, be sure to copy it exactly and indicate the copied portion(s).
- Familiarize yourself with the *Publication Manual of the American Psychological Association, 5th edition* (2001), which is used by the Silver School.
- A student is fully responsible for any work he or she submits. If the work is typed by a typist, the student must read the finished work to be sure that no references or quotation marks have been omitted.

- Understand that your reader will want to know the sources you used in your research/writing and may be concerned about phrasing that is not like your usual writing style. Online material must be clearly referenced as well.
- If you allow another student to copy your work (including computer programs and research data) and submit it as his/her own, or if you submit a copy of someone else's work and claim it as your own, you have plagiarized.

Advisory Committee on Academic Integrity

- The purpose of the Advisory Committee on Academic Integrity is to review and provide a disposition of problems or issues related to academic integrity. The problems or issues may include plagiarism or any other form of academic dishonesty.
- Faculty members concerned about academic dishonesty by students can:
 - (1) take appropriate action in their grading of the student for the course;
 - (2) consult with the Advisory Committee to get advice; or
 - (3) file a formal complaint with the Advisory Committee.
- If a formal complaint is filed, the Advisory Committee shall review the complaint and make a recommendation to the Dean for action. The Dean will take needed action with respect to the student.

GUIDELINES FOR COURSE GRADING

The attached guidelines, adopted by the faculty, are the culmination of a lengthy process aimed at operationalizing the basis for grading. These guidelines do not mandate a rigid formula for grading students but rather offer some guidance to faculty members in determining the various grade levels. Individual faculty have discretion within the scheme of attributes presented to weigh factors differentially as they see fit. However, it is intended that each instructor have a clear contract with his/her class which would include the following components:

- Clarity in the way in which attributes included in the guidelines would be weighted.
- Clarity in the basis for demonstrating performance (in other words, what evidence will be utilized) in regard to attributes.
- Clarity in the process that will be used by the instructor for offering feedback on performance.

Attendance

To receive credit for a course, a student must be in regular attendance and satisfactorily complete all examinations and other assignments prescribed by the instructor. No more than 3 class sessions may be missed for cause.

Please note that as a matter of long-standing University policy members of any religious groups may, without penalty, absent themselves from classes when required in compliance with their religious obligations.

Assignments

Instructors will inform students at the beginning of each semester about expectations for handing work in on time; the School's procedures for requesting extensions for late papers; and the consequences for not following the proper procedures according to the School's grading system.

GRADE

GUIDELINES

- | | |
|----|--|
| A | Excellence in integrating conceptual learning with practice situations. Consistently superior performance in dealing with conceptual material. Excellence in written expression and scholarship. Evidence of self-direction in learning with substantial reading activity in depth and breadth. Resourceful, intelligent participation in class discussion, which might include leadership in class projects. |
| A- | Attributes would be similar to the above, but to a lesser degree. There might be somewhat more unevenness than in the A performance. |
| B+ | Performance on attributes would be somewhat above B level, but less than A-level. One might find more unevenness and more gaps than in an A- student in an otherwise good level of functioning. |
| B | Expectations for graduate level work acceptable in terms of self-direction, reading activity dealing with conceptual material, integration of conceptual-practice dimensions of learning, class participation, oral and written expression. Stress would be on acceptable performance. |
| B- | Barely acceptable performance in attributes (described in A and B categories). Some area might be below expectation. The work has been done but there are a number of gaps and some superficiality in grasp of material. |
| C | There is minimal grasp of concepts and minimal integration of conceptual and practice learning. Student might repeat some content areas on mechanical, rote basis but the student's understanding is unclear or questionable. The grade is "passing" but the student is considered marginal in important areas of learning. The gaps in learning are more extensive than in the case of a B- grade. The grade of C should serve to alert the student that his/her work is borderline and should improve. |
| F | Work is unsatisfactory in most of the attributes considered and does not warrant receiving credit for the course. A student receiving an F grossly misunderstands course content and/or is deficient in its mastery. Failure to submit assignments or other required materials is clearly unacceptable. |

- IP or IF Grade given for incomplete course work that must be converted to a grade within one semester (see Policy on Incomplete Grades).
- N No grade or credit given.

Non-matriculating students who receive an “F” grade are not eligible for future registration.

Other factors that might be utilized in distinguishing between a higher and lower grade would include:

- Student's progress during the semester in his/her own professional development reflected in course performance.
- Extent of absences and/or lateness; excessive unacceptable absences and/or lateness would be taken into consideration.

The guidelines presented do not represent a perfect continuum in scaling attributes. Nor are the categories mutually exclusive. Yet they provide a point of departure for guiding School grading which may prove more reliable than otherwise.

POLICY ON INCOMPLETE GRADES

The policy outlined below will be enforced for all graduate courses taught at the Silver School of Social Work. In some courses, faculty may choose to develop additional requirements or may choose not to permit incomplete grades.

1. It is expected that graduate students will complete all course requirements on time. Papers and other assignments not turned in by the due date may result in a lower grade for the specific assignment or the course.
2. Under special circumstances, students may request an “incomplete” grade from the instructor. Such circumstances should generally be extraordinary, such as a medical emergency. Incompletes may be granted at the discretion of the instructor, but are not to be considered an automatic entitlement.
3. In order to receive either an IP (incomplete pass) or an IF (incomplete fail), the student must submit a Request for Incomplete Grade Form, signed by the student and the appropriate faculty member, to the Office of Registration Services before grades are due. The written approval will include the reason for the request, the specific plan for completing requirements, and a due date for completion of requirements. The student and the course instructor will each retain a copy and the Office of Registration Services will provide a copy to the faculty advisor and retain a copy on file.
4. The instructor will determine whether an incomplete grade is recorded as IP or IF.

5. After one semester, an IP will automatically revert to an N on the student's transcript and an IF will automatically revert to an F. A student is automatically placed on probation if an incomplete grade remains for more than one semester or if student receives a grade of F.
6. If course requirements are not met on time and the student has not requested and received approval for an incomplete grade, the instructor will assign an N (no credit) or an F when grades are due.
7. Students with any incomplete grade will be blocked from registering for the next semester. The faculty advisor will be responsible for assessing the student's individual education plan and may approve registration for the next semester on a case by case basis. Incomplete grades are to be used infrequently and only for extraordinary circumstances.

POLICY ON REPETITION OF COURSES

1. Students must repeat a required course in which they receive a grade of "F" in order to receive credit for that course.
2. Students can repeat any non-required course in which they receive a grade of "F" in order to receive credit for that course.
3. Students can repeat a course only once.
4. In all cases, an original "F" grade continues to be included in the computation of the grade point average even if the course is repeated and passed successfully.
5. Students may not repeat courses in which they receive a grade of "C" or better.

POLICY ON WITHDRAWAL FROM CLASSES

Students who are considering withdrawing from a class must discuss it with the professor and faculty advisor. Upon withdrawing from a class students are subject to University policy and will be held responsible for related tuition and fees. If you have any question about dropping a class, consult the Office of Registration Services. Students who withdraw from a class cannot audit the class. They must take the course at another time at their own expense.

OTHER IMPORTANT POLICIES AND PROCEDURES

Affirmative Action and Anti-Discrimination Policies

These policies are available on the University's Office of Equal Opportunity website (www.nyu.edu/pages/eo). Inquiries regarding the application of the federal laws and regulations concerning affirmative action and anti-discrimination policies and procedures at New York University may be referred to the Vice Provost Frances White (212-998-2192). Inquiries may also be referred to the Director of the Office of Federal Contract Compliance, U.S. Department of Labor.

Policies on Substance Abuse and Alcoholic Beverages

New York University is committed to creating and maintaining a campus environment that is free of alcohol and substance abuse and that complies with New York State and local laws. These policies are available on the University's website (www.nyu.edu/hr/pdf/forms/sabuse06.pdf).

Procedures for Reporting Incidents of Sexual Assault or Sexual Harassment

If you feel you have been the victim of sexual assault or sexual harassment contact the Wellness Exchange (212-443-9999) for information and services. Confidentiality is strictly observed. Every effort will be made to resolve the matter informally and, if necessary, move it further. Policies and procedures regarding sexual assault are available at <http://www.nyu.edu/shc/pdfs/Surviving%20Sexual%20Assault%2006-07.pdf>.

Student Files

Students' educational files are the sole property of the University. Students must receive permission from the Academic Program Review Office (212-998-2310) to review the contents of their file.

STUDENT GRIEVANCE PROCEDURES

1. *Application.* These grievance procedures are available to any New York University student registered at the Silver School of Social Work to resolve any grievance involving an alleged violation directly affecting that student, by any member of the School community while acting in an official capacity, of any of the written policies of the University or the School. Complaints of sexual harassment should be filed under the provisions of the formal procedure in such cases as set forth in the University Policy on Sexual Harassment.
2. *Informal Resolution.* Students wishing to grieve an alleged violation of School or University policy shall first contact, within fifteen (15) working days of any occurrence giving rise to the grievance or the time they could reasonably have learned of the occurrence, the person responsible for the matter being grieved (the respondent) and attempt to resolve the grievance informally. Students uncertain how to proceed may consult Courtney R. O'Mealley, Director of Student & Alumni Affairs (212-998-9189; courtney.omealley@nyu.edu). At the request of the student (grievant) or respondent, Mr. O'Mealley or other appropriate member of the School's faculty or administration shall assist the student grievant in this attempt at resolution by arranging a meeting of the parties, attending such meeting(s), and otherwise working toward resolving the grievance. This initial step in the procedure shall be handled privately and confidentially.
3. *Formalizing the Grievance.* If the matter is not resolved to the grievant's satisfaction within fifteen (15) working days after the initial notification of the complaint and the attempt at informal resolution, the grievant may obtain formal review of the matter by submitting a written complaint within twenty (20) working days to the respondent and to Courtney R. O'Mealley, Director of Student & Alumni Affairs or, in the case that Mr. O'Mealley is a respondent, to the person appointed by the Dean of the School. The complaint must:
 - (a) state the written School or University policy that allegedly has been violated;

- (b) describe the evidence supporting the alleged violation;
- (c) indicate what redress or remedy the grievant seeks; and
- (d) provide a brief history of the informal attempts made to resolve the grievance.

4. *Initial Review of the Grievance.* If the grievance arises out of a program or educational activity of the School, the Dean's office will designate a Grievance Officer to review the complaint, who ordinarily will be director of the educational program in which the student is enrolled or his or her designee. If there is doubt about who the Grievance Officer should be, the Dean's office will determine who is the highest ranking responsible person, with the exception of the Dean, to handle the matter.

The Grievance Officer shall meet with the complainant and with such other persons as he or she shall deem appropriate for the purpose of ascertaining the facts and attempting to resolve the complaint. Within twenty (20) working days, the Grievance Officer shall render a written decision on the merits of the grievance to the grievant and to the respondent, with copies to the Dean of the School. The review conducted by the Grievance Officer and the written decision on the merits of the grievance shall be handled privately and confidentially.

5. *The Judicial Board.* If the grievant or the respondent does not accept the decision of the Grievance Officer, he or she may decide, within ten (10) working days of receipt of the Grievance Officer's written decision to bring the matter before the Judicial Board of the School. The Judicial Board shall consist of five (5) members, two (2) of whom shall be students, two (2) of whom shall be tenured faculty members, and one (1) of whom shall be a clinical faculty member. All members of the School's Judicial Board shall be appointed annually by the Dean. Any member of the Judicial Board who has a conflict of interest or the appearance of such a conflict shall excuse themselves from a specific case, and a replacement member shall be appointed by the Dean for that case.
6. *Powers of the Judicial Board.* If the School's Judicial Board finds that there would be no violation of School or University policy even if all of the alleged facts and circumstances were as described by the grievant, the Board may dismiss the grievance. The Board may also choose to conduct any further proceeding that it deems is needed, provided that:

- (a) It shall decide what is and is not relevant to the complaint and consider only matters relevant to the complaint being heard.
- (b) It shall permit the grievant and the respondent to be accompanied by another person from within the School community during any proceeding if he or she wishes to have such a person present. However, the Judicial Board (Grievance Officer) must be notified in advance if such a person will be present.

The Judicial Board shall render a written decision to the Dean of the School within twenty (20) working days of receiving the written request for review, with copies to the grievant, and the respondent. The decision shall include findings of fact, a statement of the School or University policy that is alleged to have been violated, an opinion on the validity of the grievance, and, if appropriate, recommendations for corrective action.

7. *Procedures of the Judicial Board.* The Judicial Board shall select one of its members to preside over each hearing of a grievance. Both parties (grievant and respondent) shall have access to all documents reviewed by the Board. They shall also have the right to be present at any hearing conducted by the Board and to question anyone who is asked to speak to the Board on the matter. The Judicial Board shall conduct its proceedings and deliberations privately and confidentially. Final deliberations of the Board shall be in closed session. Judicial Board decisions shall be by majority vote.
8. *Appeal of the Decision of the Judicial Board.* The grievant or the respondent may appeal the decision of the School's Judicial Board following the University's Student Grievance Procedure, Section IV "University Judicial Board," outlined in the New York University Student's Guide.

OVERVIEW OF THE Ph.D. PROGRAM

Program Description

The Silver School of Social Work's Ph.D. Program was established in 1980. The primary goal of the Program is to develop scholars who, through the conduct of original research and the generation of theory, will contribute to practice innovation and the knowledge base of professional social work practice. Graduates will be able to conduct independent research, provide leadership in building social work knowledge, and compete successfully for academic positions in social work or related disciplines.

The School provides a unique environment for doctoral study, combining the advantages of a leading research-intensive university with the benefits of a school of social work that has a renowned tradition of education for clinical social work practice. The School is a key source of knowledge aimed at improving the practice of social work and developing new alternatives for meeting the needs of underserved populations. Students in the doctoral program learn from faculty who are leading scholars, expert researchers, experienced clinicians, and dedicated teachers. Our students are also able to draw upon the incomparable resources of New York, one of the world's greatest and most diverse cities.

Upon completion of the program, graduates will be able to:

- Provide leadership in the development of knowledge in a substantive area that is important to social work practice and/or social service delivery.
- Conduct independent research that demonstrates advanced knowledge of the methodology used, and which meets current standards of publishability.
- Engage in critical analysis of clinical practice models and their underpinning theories, including evidence of empirical support.
- Draw upon established social science theories to generate hypotheses regarding problems relevant to social work practice.

- Critically examine social policies using established models of analysis.
- Communicate effectively at a professional level, orally and in writing, the products of one's scholarship to diverse constituencies.
- Compete successfully for academic positions in social work or related disciplines.

Note that the Ph.D. program does not prepare students for advanced practice in clinical social work or for licensure for social work practice in New York State. Students who have been granted an LMSW or LCSW license by the New York State Education Department may practice according to the guidelines of their particular license. Students who do not have either license may not provide professional services in New York State unless otherwise authorized by state law. Under state law, it is also not possible for students in the Ph.D. program to engage in a clinical practicum designed to prepare them for licensure.

Ph.D. Program Committee

The Ph.D. Program Committee advises the Director of the program on curriculum, policies, and other issues. In addition, faculty members of the Committee comprise the Ph.D. Admissions Committee. The Director is the Chair of the Committee, and six tenure-line faculty members are appointed by the Dean for three-year terms. Doctoral students elect two representatives to the Committee each year for a one-year term. The Committee usually meets once per month throughout the academic year.

Degree Requirements

Candidates for the Ph.D. degree must complete a minimum of 60 credits beyond the master's level, 48 in coursework and 12 in dissertation research. Students must also maintain a grade point average of at least 3.0 and meet the completion deadlines described below.

Dissertation research credits are normally earned at the rate of one credit per semester. Note that students cannot graduate with fewer than 12 dissertation research credits. Those who take less than four years to complete their dissertation may have to register for more than one credit per semester in their final year in order to accumulate the required 12 credits. Those who wish to register for more than one dissertation research credit per semester must discuss this option with the program's Administrative Aide. We do not recommend that students register for more than one dissertation research credit per semester until their final year in the program.

Note also that students must continue to register for dissertation research until they successfully defend their dissertation. Students who take longer than four years to complete their dissertation will accumulate more than 12 dissertation research credits and will have to pay for these additional credits in order to graduate.

Time Limits on Dissertation Proposals and Completion of Dissertations

Candidates must successfully defend their dissertation within 10 years of initial enrollment in the program in order to receive the Doctor of Philosophy degree. In addition, students must produce an accepted dissertation proposal within five years of finishing all coursework. The clock can be

stopped for a maximum of two years in the event of a medical leave of absence or one year for a non-medical leave of absence.

One semester or one year extensions of these time limits will be granted at the discretion of the Director of the program only when there is demonstrated progress toward the completion of the dissertation, which normally means written work submitted to the dissertation chair, and when there is evidence that the dissertation will be completed within a reasonable amount of time. Students who have not completed a proposal at the end of four years post coursework will be notified that they have only one year remaining to do so. Students who have not defended their dissertation after eight years will be notified that there are two years left to do so.

Curriculum

Full-time doctoral students normally take 12 credits of course work in the fall and spring semesters over two years, as indicated on the following chart, while part-time students normally take six credits in the fall and spring over four years. The number of asterisks next to a course name indicates in which year of the program (2nd, 3rd, or 4th) each course is taken by part-time students.

Course of Study

FALL I	SPRING I
Philosophy of Science & Knowledge Development (S90.3050)	Quantitative Methods (S90.3027)
Methods of Inquiry (S90.3049)	Introductory Statistics (S90.3028)
Social Science Theories & Social Work** (S90.3053)	Theories of Clinical Practice** (S90.3057)
History of Social Work & Social Welfare** (S90.3048)	Elective**
FALL II	SPRING II
Qualitative Methods*** (S90.3032)	Teaching and Learning in Social Work*** (S90.3033)
Social & Behavioral Intervention Research*** (S90.3064)	Elective***
Social Policy Analysis**** (S90.3059)	Dissertation Proseminar**** (S90.3013)
Elective****	Elective****

Electives

Electives should help to advance students toward their dissertation; they should select courses that will add to their knowledge in substantive areas related to what will likely be their dissertation topic, or in methodological areas that are likely to be needed for their dissertation. Students should discuss their elective options with their advisor.

At least some of the electives should be devoted to advanced research methodology and/or statistics courses. Students are required to take at least two of their four electives outside the Silver School, usually in other programs within NYU. In general, electives must be graduate-level courses, usually doctoral. However, some programs do not make a distinction between master's and doctoral courses. Students most often locate appropriate electives in the Steinhardt School of Culture, Education, and Human Development (especially in departments of Applied Psychology or Humanities and Social Sciences in the Professions); the Wagner School of Public Service; or in some departments of the Graduate School of Arts and Sciences (especially psychology and sociology). Recommendations from students who have taken electives in other programs can be found on the PhD Program Blackboard. Electives offered by our PhD program are usually offered every two years.

Prior to registering for a course in another program within NYU, students should contact the course instructor to determine whether they will be permitted to register for it. In general, students cannot use Albert to register for courses in other programs within NYU. In order to register for such courses (assuming the instructor has given permission) students must first complete a Cross-School Registration Form, which is available from our School's Registration Services office. The student's advisor must sign the form, and then it must be returned to Registration Services. Once this has been done, students can contact the school or department offering the course to determine whether they should register in person or by phone.

Independent Study Electives

Students can design an Independent Study in a particular substantive area only if the material that will be covered is not available in any existing course and if the material is clearly relevant to the student's likely dissertation topic. In general, only one Independent Study will be allowed. Students wishing to take an Independent Study must find a full-time faculty member within the Silver School to supervise it. The student and faculty member should meet to discuss plans for the Independent Study, and they should develop a learning contract which includes the number of credits for the course. Once the contract has been agreed upon, the student must complete an Independent Study Approval Form (see Appendix A), which is available on the program's Blackboard, and submit it for approval to the Director of the program. The Director will forward it to Registration Services.

Registration

Registration is the responsibility of each student. Prior to each semester, students will be sent information about registration. To ensure that they receive this and other important information, it is of the utmost importance that students notify the program's Administrative Aide *and* the University Registrar of changes in home address, preferred email address, and home and/or work telephone number(s). Note that failure to register in a timely manner at any point in the Program, including throughout the dissertation phase, may result in dismissal.

Full-time students who plan to register for either more or less than 12 credits for any semester during the coursework phase of the program should notify Byron Cortes (byron.cortes@nyu.edu), the School's Financial Aid Assistant, about the exact number of credits for which they will be registering in order to avoid problems with their account.

Arrears Payment Policy

Money owed to the University from previous semesters must be paid in full before students can register for a new semester. Students who are in arrears with the Bursar on the day before they intend to register will be automatically blocked from registration. For inquiries regarding arrears, call the Bursar (212-998-2800).

Financial Support

Information about externally funded scholarships and fellowships, and research assistant opportunities within the School, is posted on the Program's electronic blackboard. In addition, loan information is available from the School's Financial Aid Assistant, Byron Cortes (byron.cortes@nyu.edu).

Field Instructor Tuition Remission

Students in the program who are current field instructors for Silver School of Social Work students (MSW or BS) are eligible for a one-quarter reduction in tuition.

Pre-Dissertation Advisement

Upon beginning the program, Ph.D. students will be assigned a pre-dissertation advisor. Students should take the initiative to get to know their advisor at the beginning of the first semester.

Admission to Ph.D. Candidacy

Students will be officially considered candidates for the Ph.D. degree upon passing the comprehensive exam, which is known as the Comprehensive Integrative Paper. Prior to passing this exam, students should refer to themselves in any official capacity (e.g., publications or presentations) as a "Ph.D. student" rather than a "Ph.D. candidate."

Maintenance of Matriculation

After completing coursework students will maintain their matriculation status by registering for the course Doctoral Dissertation Research (S90.2026) every fall, spring, and summer semester. Maintenance of matriculation retains student access to the University's resources, including the faculty and library. Although maintenance of matriculation allows for uninterrupted access to University resources, it does not imply that advisors are always available, especially during the summer months. Students must register for Doctoral Dissertation Research the first non-summer semester after they complete coursework. After this first time, they will be automatically registered for this course every semester until they successfully defend their dissertation.

Half-Time Equivalency during Dissertation Phase

Half-time equivalency status qualifies students for the possibility of guaranteed student loans, and it also satisfies the requirement for deferral of payback on previous loans during the

dissertation phase of the program. Students must request half-time equivalency status by submitting a completed Half-Time Equivalency Form to the program's Administrative Aide. See Appendix B for an example of the form, which may also be obtained from the program's Blackboard. Following submission of this form, half-time equivalency status will be maintained for one year. A new form must be submitted each year.

Transfer Credit

Normally, credit for required courses in the Ph.D. program cannot be transferred from other institutions. For admissions purposes, transfer credit from other educational programs within the School or from other institutions is not normally allowed.

Immunization Requirements

All students born after December 31, 1956 are required to submit records indicating immunization against Measles, Mumps, and Rubella to NYU Health Services. Note that your registration will be blocked until you have complied with this requirement. In addition, New York State Public Health Law requires students to decide whether to be immunized against Meningococcal Meningitis and to provide formal confirmation of their decision. Failure to comply with this requirement, including completion of the Meningococcal Meningitis Response Form, will result in denial of student registration privileges. For any questions, contact University Health Services (212-443-1199).

WITHDRAWAL FROM THE PROGRAM

Students considering withdrawal from the Ph.D. program should discuss it with their advisor and the Director of the program. Students who decide to withdraw must submit a letter to that effect to the Director, and they must submit a copy of the letter and a withdrawal form to the School's Office of Registration Services.

LEAVES OF ABSENCE

Psychological Medical Leaves

Criteria

Psychological medical leaves and/or withdrawals are warranted when students are: (a) psychologically unable to perform academically or live in the residence halls; (b) dangerous to themselves, others or property; or (c) in need of treatment that prevents their current or future continuation at the School.

Going on Leave

Students wishing to take a psychological medical leave must schedule an evaluation interview at the University's Counseling and Behavioral Health Services (CBH). If appropriate, a CBH clinician will recommend psychological medical leave (orally and in writing) to the Assistant Director for MSW Program Services, Christine Campbell, and will inform the student (orally and in writing) of conditions for return from medical leave.

Students must then complete and sign a Student Leave Request Form (available on the program's Blackboard) and submit it to Ms. Campbell, who will review all documentation and authorize the leave. Ms. Campbell will notify the Office of the Vice President for Student Affairs and the School's Office of Registration Services. The Office of the Vice President for Student Affairs will notify the University Registrar, Housing, and other pertinent offices.

Refunds for course withdrawal will occur automatically if done within the University refund period as stipulated by the Bursar. Appeals to the standard refund policy can be made to the Refund Committee by contacting the School's Office of Registration Services.

Returning from Leave

Students must notify the University at least three to six weeks prior to the start of classes that they will be returning from leave. The limit for consecutive leaves of absence is one academic year (or two semesters). If students need to extend their leave, they must formally request it by repeating the original request procedure.

Returning students must fulfill certain conditions: (a) sufficient time away from school; (b) a course of treatment during the entire time away from school; (c) a Certificate of Readiness to Return Form sent from the outside therapist to CBH; and (d) an evaluation with CBH. Based on fulfillment of these conditions, CBH will make a recommendation to the Office of the Vice President of Student Affairs, which will notify the School's Assistant Director for MSW Program Services, Registrar, and other pertinent offices, that the student is approved to return from leave. Returning students should then contact the School's Office of Registration Services to make sure they are cleared to register for the following semester.

Physical Health Medical Leave

Criteria

Physical health medical leaves are warranted when students are: (a) unable to perform academically because of a medical condition; or (b) in need of medical treatment that prevents their continuation at the School.

Going on Leave

Students wishing to take a physical health medical leave must submit to the Assistant Director for MSW Program Services a letter from their physician or the Student Health Center (SHC) that clearly states they cannot continue with their academic program because of a physical health condition or medical treatment, and it should outline the time period for this leave. Students must also complete and sign a Student Leave Request Form (available on the program's Blackboard) and submit it, along with the physician's letter, to the Assistant Director for MSW Program Services, Christine Campbell.

Ms. Campbell will review all documentation and authorize the leave, and she will notify the Office of the Vice President for Student Affairs and the Office of Registration Services. The Office of the Vice President for Student Affairs will notify the Registrar, Housing, and other pertinent offices. Refunds for course withdrawal will occur automatically if done within the

University refund period as stipulated by the Bursar. Appeals to the standard refund policy can be made to the Refund Committee by contacting the Office of Registration Services.

Returning from Leave

Returning students must notify the Assistant Director for MSW Program Services three to six weeks prior to the start of classes. The limit for consecutive leaves of absence is one academic year (or two semesters). If students need to extend their leave, they must formally request it by repeating the original request procedure

In order to return, students must submit to Christine Campbell, Assistant Director for MSW Program Services, a letter from their physician or the SHC that indicates their readiness to return to school. Ms. Campbell will notify the Office of the Vice President for Student Affairs about the student's return from leave. The Office of the Vice President for Student Affairs will notify the Registrar, Housing, and other pertinent offices that the student is approved to return to school. Students should then contact the School's Office of Registration Services to make sure that they are cleared to register for the following semester.

Non-Medical Leave of Absence

Students who wish to take a non-medical leave of absence must first discuss it with the Director of the Program. In general, a leave of more than one year is not possible. When students decide to take a leave, they must submit to the Director a written letter explaining the need for the leave in addition to a completed Student Leave Request Form (available on the program's Blackboard). If the request is approved, the Director will forward the Student Leave Form to the Office of Registration Services with a request that the student be placed on Maintenance of Matriculation status. If the leave involves a withdrawal from classes, students must notify all of their instructors that they are taking a leave of absence. They must then follow the procedure for maintenance of matriculation for each semester of absence, which involves payment of fee that is determined by the Bursar.

ACADEMIC DIFFICULTY

In the case of students who are unable to maintain good academic standing, a three-person Status Conference Committee will be formed, which normally includes the student's advisor and two members of the Ph.D. Program Committee. The Status Committee will discuss the problems, assets, and deficits of the student in question, and a plan of action will be outlined. Recommendations can cover a range of possibilities that include additional courses or readings to remedy deficits, or withdrawal from the program. A memorandum of the Committee recommendations will be given to the student, and a copy will be kept on file.

THE COMPREHENSIVE EXAMINATION: COMPREHENSIVE INTEGRATIVE PAPER (CIP)

Following the completion of all coursework, all students will be required to submit a Comprehensive Integrative Paper, which serves as an examination of what the student has

learned to date in the program. Students must receive a passing grade on the CIP in order to advance to candidacy for the Ph.D. degree.

Purpose

The main purpose of the CIP is to provide an opportunity for students to demonstrate their mastery of required course content and readiness to engage in independent research by critically examining models of clinical practice and their underpinning theories, social science theories, social policies, and research with respect to a selected topic. Successful completion of the CIP also demonstrates that a student is able to adhere to accepted norms of scholarship and write with publishable quality.

Topic

Before beginning work on the CIP, students should discuss with the Director of the Ph.D. program their plan for writing the paper. Students can meet with the Director and begin working on the CIP after completion of 45 credits, but they cannot submit the completed paper until they have finished all coursework (48 credits). Although it may be helpful for students to select a topic for the CIP which advances them toward their dissertation proposal, the CIP and dissertation do not have to focus on the same topic. The CIP should focus on a topic of interest to the candidate that is important and which has significance for clinical social work. The topic should be sufficiently delimited so that its boundaries can be established for the purposes of the paper, but it should be broad enough so it can be discussed from the various vantage points required by this assignment.

Guidelines for Writing the CIP

The CIP must be well organized and well written, with a consistent focus on the chosen topic. It must be typed, double-spaced, with 12-point font. All references must be cited according to the guidelines of the *Publication Manual of the American Psychological Association* (5th ed.). The title of the paper should appear on the cover page and in an abbreviated form as a running header. Students should consult the first few chapters of the *APA Manual* for guidelines for excellence in professional writing. Theories, models of practice, and policies must be examined critically, not merely described, with respect to the chosen topic or population of interest. An important part of such critical analysis is the extent to which the theory, model, or policy is supported by evidence and the strengths and weakness of that evidence (see Browne & Keeley, 2007 for discussion about critical thinking). The paper should draw upon primary sources; secondary sources are not generally acceptable for doctoral-level work.

The CIP should cover the following content in no more than 40 pages, not including the reference list. Each section should be labeled with an appropriate heading. The text of the paper should end with a brief summary.

1. An introduction that identifies and describes the chosen topic and explains the importance of the topic and its particular significance for clinical social work. The last part of the introduction should briefly outline what will be covered in the rest of the paper, especially if the order of sections will be different from that which is identified below.

2. A practice section that examines one or two models of practice with particular relevance to the chosen topic. This section must include examination of the theory or theories on which each model is based and the extent and quality of evidence supporting the model, especially in application to the chosen topic (i.e., problem or population of interest).
3. A theory section that examines one or two social science theories with particular relevance to the chosen topic. As with the practice section, choosing one theory will allow for greater depth; choosing two will allow for comparisons between them. This section must include analysis of evidence that supports the theory, especially in application to the chosen topic (i.e., problem or population of interest).
4. A policy section that identifies a social problem with relevance to the chosen topic (if the topic is not itself a social problem) and critically examines a contemporary social policy that addresses the social problem, using an established method of policy analysis. The chosen method must be clearly identified and carefully followed.
5. A research section that describes and critically examines two published research studies relevant to the chosen topic that used different methodologies. The description of each study should include a summary of its purpose, methods, and findings. The study's strengths and limitations, especially with respect to the chosen topic (i.e., problem or population of interest) must then be discussed.

Submission and Grading of the CIP

Students must submit their completed CIP to the program's Administrative Aide within six months of completing the required 48 coursework credits. However, we strongly recommend that they submit it within three months. The paper cannot be submitted until a grade has been received for 48 coursework credits. The CIP can be submitted for grading at any time during the year. During most of the year grading of the paper should take about a month. However, students should keep in mind that grading will take longer during the School's breaks because faculty are often less available during such periods. If you must resubmit your CIP (i.e., if it must be revised), you must do so within three months.

Three copies of the CIP must be submitted. Only one copy should have a cover page that includes the student's name and the title of the paper; the other two copies, which will be given to the readers for "blind" review, should not have cover pages. The CIP will be graded independently by two faculty members. Each paper will be assessed according to the following criteria:

1. Ability to conceptualize
2. Evidence of critical thinking
3. Quality of writing
4. Ability to define and maintain focus of paper
5. Command of theoretical content
6. Command of practice models, concepts, and research
7. Command of policy and policy analysis
8. Grasp of research concepts and methodology

The readers will grade the paper according to each criterion on a scale from 0 to 3, for a total of 24 possible points. Readers' comments will be provided to the student.

Based on the total number of points, grading outcomes will be classified as:

Pass with distinction	22-24 points
Pass	18-21 points
Needs partial revision	13-17 points
Unsatisfactory	12 points or below

If the paper receives a “needs partial revision” grade, the CIP must be resubmitted within three months. If the paper receives a grade of “unsatisfactory,” the student should meet with the Director in order to plan for a resubmission within three months. Normally, only one resubmission is permitted. When revising the CIP the student must attach to the paper a one to two page list of the significant revisions that were made in response to the reviewers’ comments.

TEACHING PREPARATION

Many students in the Ph.D. program plan to teach as part of their career. In addition to offering the required course on Teaching and Learning in Social Work, the program provides students with opportunities to gain teaching experience. The School’s MSW program is quite large, and doctoral students with sufficient experience are often able to teach foundation courses as adjuncts. Unless students have teaching experience prior to entering the Ph.D. program, they should not expect to teach at the School until they have completed the Teaching and Learning course and a teaching practicum.

Following completion of the Teaching and Learning course, students can elect a non-credit teaching practicum in which they assist a faculty member with teaching a semester-long course. Students who wish to have a teaching practicum should discuss it with the program’s Director.

Adjuncts are hired by the MSW program curriculum area chairs, so students should approach the chairperson who coordinates the curriculum area in which they wish to teach. For the 2008-2009 academic year the chairs are: Dr. Theresa Aiello (Human Behavior); Dr. Mary Ann Jones (Research); Dr. Gerald Landsberg (Policy); and Dr. Lala Straussner (Practice). Students will be enrolled in a semester-long teaching seminar when they begin teaching a course independently for the first time.

THE DISSERTATION

A central goal of all doctoral education is the preparation of stewards of the discipline, those scholars who will develop and disseminate the new knowledge for practice that the profession needs (Carnegie Foundation for the Advancement of Teaching, 2001). The dissertation is the part of the doctoral program through which students demonstrate their ability to fulfill this responsibility. Successful completion of the dissertation also requires developing the work skills

and habits that are required for ongoing independent scholarship that is expected of those with the Ph.D. degree. Students are qualified to begin a dissertation upon advancement to candidacy.

Criteria

There are many approaches that the dissertation may utilize. Whatever design is selected, the dissertation will be judged according to the following criteria:

1. It must be significant, i.e., the research question must be one that is important for social work practice.
2. It must reflect a new idea or approach, generate new knowledge or understanding, or involve a creative extension or application of theory and knowledge.
3. It must involve some form of empirical investigation, i.e., the gathering and/or analysis of data bearing upon a specific research question.
4. It must be feasible, i.e., appropriate resources must be available and completion can be anticipated in a reasonable time frame.
5. It must be conducted independently, though it may utilize data from a larger study.
6. The study design and methods must be appropriate to the question being asked.
7. It must be conducted according to ethical norms of research and scholarship.
8. The work must be of publishable quality, i.e., meet the standards of excellence for written scholarship in social work.
9. It must be completed within 10 years of the candidate's enrollment in the Program.

Responsibility

The responsibility for selecting a topic, formulating and carrying out the study, and writing the dissertation lies solely with the student. It is expected that students will seek advice from their committee chair (see Procedures), members of their committee, other faculty, and/or outside experts, particularly during the planning phase of the study. Students are expected to have regular contact with their chair throughout the process of working on their dissertation; regular contact with the other committee members is strongly recommended.

Some faculty invite student participation in their own research projects, which may provide opportunities for doctoral students to become an active part of a research team, learn from research mentors, and develop their own research questions related to a larger study. If the dissertation is part of a larger project, or if any other collaborative arrangements exist, the student's roles and responsibilities as well as those of the others working on the project must be specified when the dissertation proposal is submitted.

THE DISSERTATION PROCESS

Selection of a Topic

It is advisable for students to select a dissertation topic in which they have a great deal of interest and which is related to their clinical or research experience. Students should begin thinking about the topic early in the program, and they may discuss possible ideas or seek advice from their adviser or other faculty members at any time. Some examples of suitable topics include:

- The characteristics, needs, and/or attitudes of a specific population
- Specific aspects of human behavior and functioning (individuals, families, groups)
- The development or extension of practice models or techniques
- The outcome or effectiveness of practice
- Practice processes
- Supervisory, teaching, or training techniques and processes
- Development of assessment, intervention, or evaluation methodology

Appropriate Study Methods and Designs

There is not one optimal research design for Ph.D. dissertations, since there are many ways of contributing to the advancement of theory and knowledge. Some research questions call for quantitative methods while others lend themselves to qualitative methods or a combination of the two. Whatever design is selected, it must be appropriate to the study's research questions.

The methodologies that may be employed include qualitative studies, cross-sectional and survey designs, experimental and quasi-experimental designs, and longitudinal designs. Students are strongly encouraged to take advanced methodology and statistics courses to support the kind of research they will be doing.

Length

There is considerable leeway with respect to the length of dissertations. Quality and clarity of conception, writing, presentation, evidence of scholarship and systematic inquiry, originality, and significance to the field are more important than length. While it is difficult to establish clear guidelines, most dissertations are about 150-250 pages long.

Selection and Composition of the Dissertation Committee

Students must select a dissertation chairperson and two other members of the committee, all of whom must be approved by the Director of the program. In order to make this selection students are encouraged to become acquainted with the faculty and their interests. Choosing an area of study that relates to the expertise and interests of the faculty will facilitate the dissertation process. In general, faculty are very open to consultation with students concerning their areas of expertise and potential mutual interests.

All three members of the committee must be full-time members of the School's faculty, which includes clinical and non-tenured tenure-track faculty. The chairperson must be a tenured member of the School's faculty. Among the members of the committee there must be substantive expertise on the major aspects of the dissertation topic as well as expertise in the research methods that will be used. The student may elect to add a fourth member from outside the School's faculty who has expertise relevant to the study. Outside members must have a doctoral degree and an academic appointment, either in social work or another field. Outside members cannot serve as chair of the committee.

Formal selection of a chair and other members of the committee may not take place prior to advancement to candidacy. The Request for Approval of Dissertation Committee Members form (see Appendix C) must be used to request all additions or changes to the committee's

membership. Once the Director signs the form, indicating approval of the request, a copy will be sent to the student and each committee member. Note that students must obtain agreement to serve on the committee from each person listed on the request form prior to submitting it for approval. When students request the addition of a committee member who is not on faculty at NYU, a copy of that person's *Curriculum Vitae* must be attached to the request form.

Choosing a Chair

It is common to request approval of just the chair at first. As with all members of the dissertation committee, the person chosen to chair the committee should have expertise in the content areas and/or study methods that the project will involve. In addition, the student must feel comfortable working with the chair. A meeting with prospective chairs to discuss the study topic, styles of working, and other expectations is usually helpful. Some faculty members may request a written summary of the student's research interest in order to decide whether it would be appropriate for them to chair the committee.

Changes in dissertation chair are possible when a change in topic calls for different expertise, when the chair's availability is substantially reduced, or when the student feels that there is no longer an effective teaching/learning relationship between them. In these cases the student should first discuss the desired change with the current chair. Any such changes must be approved by the Director.

Choosing the Committee Members

Students should select other members of the committee in consultation with their chair, taking into account areas of expertise and compatibility. At least one member of the committee should have expertise in the research methods that will be used in the study. Some faculty members who serve on dissertation committees prefer to be involved closely in the development of the proposal, while others prefer not to be heavily involved until later in the process. Although students do not have to select all of their committee members immediately, it is usually helpful to draw upon the expertise of a full committee throughout the development of the dissertation proposal.

Members of the committee may be changed for the same reasons as the chair. Before requesting any change in committee members the student must discuss the change both with those being dropped and those being added. As with the chair, any such changes must be approved by the Director.

GENERAL OUTLINE FOR DISSERTATION PROPOSALS

The following general outline should guide the writing of the proposal. The proposal should have three separate chapters of narrative: "Statement of the Study Issue," "Review of the Literature," and "Methodology," as described below. The other items on this list appear before the text (e.g., the title page) or after the text (e.g., the appendices). Students may consult *Proposals That Work (5th ed.)* (Locke, Spirduso & Silverman, 2007) for additional guidance on the content of the substantive parts of dissertation proposals.

Note that a 12-point standard font must be used (no italicized or *sans serif* fonts). Print size reduction of any page is not permitted. The entire manuscript must be double spaced, with the exception of block quotes and footnotes. A one-inch margin is required for the top, bottom, and right edges of all manuscript pages. The left margin requirement is one and one-half (1½) inches. All tables, figures, appendices, and references must fall within margin requirements. Page numbers should be placed at the bottom center of each page beginning with the Statement of the Study Issue (the Title Page and Table of Contents are not numbered).

Title of the Proposed Dissertation

This should be as brief as possible while accurately conveying the main purpose of the study. See Locke et al. (2007) for a discussion of titles for dissertations.

Table of Contents

This needs to include the titles of each chapter and the major subheadings within them, each of the appendices, and the references.

Statement of the Study Issue

This chapter describes the research problem and why it is important to study. The *purpose* of the study is a succinct, direct statement of what the study will actually address. It is stated in terms that are clear and specific, not overly abstract or theoretical. The statement encompasses the study's research questions, though it does not state them directly. This is generally followed by the rationale for the study, which is the logical argument that leads you to your particular research questions and the expectation of certain findings or particular relationships among variables. The basis for this argument rests on existing theory and/or evidence from the research literature. Next, the *significance* of the study must be addressed. If relevant, you may describe the scope of the problem based on published facts and figures. This section explains why the results of the study are potentially important and the potential implications for social work practice, theory, and/or policy. In other words, how might the findings be useful for helping people in need?

Review of the Literature

The literature review is a detailed explication of the arguments leading you to propose your research questions. Hence, it has your overriding conceptualization as its organizing principle. It is a synthesis of prior research, theory, and clinical writings (to the extent that they are relevant) that provides a framework and rationale for your study. Your ideas, thoughts, and conclusions guide the reader through the review of the literature. Examples of typical organizing ideas may include the following (you will probably use more than one):

- A theory which makes a specific prediction or a conflict between two theories which your study tries to resolve.
- A critique of the literature suggests that conclusions from a major study or a body of studies may be wrong due to limitations based on the sample, research design, method of data collection, or other reasons.

- Presentation of contradictory evidence from previous studies and a potential way of resolving what appears to be the problem.
- A gap in the literature, such as extending an idea or approach to a new population.
- A new problem that has not yet been studied in a particular population or a problem that has not been studied at all.

It is often useful to make an outline of the concepts you wish to address before beginning to write the review. Because it leads to your statement of research questions and provides the rationale for them, your review must address all of the major concepts included in the questions. The literature review should be based on original source material. Note that the use of secondary sources, unless absolutely necessary, is not sufficiently scholarly for a doctoral dissertation. The literature review is written in the form of a narrative that integrates material from numerous sources; it is not an annotated bibliography that addresses one source at a time. Throughout the review you must include your own thinking and conclusions about the issues, such as noting how a particular finding is relevant to your research question or critiquing the methodology, theoretical perspective, or findings of previous studies. However, the style of writing should be neutral, even-handed, and unemotional. It is not appropriate to use a polemical or journalistic style, one that is overly dramatic or poetic, or to be condescending or dismissive of views with which you disagree.

In deciding how to approach a review of the literature, consider the following two extreme but common cases:

1. You selected a topic for which the literature is voluminous.
2. You selected a topic about which hardly anything has been written.

In the first case, the task is fairly simple. Your study is based on previous work. Thus you should review only the literature that is directly relevant to your research questions. However, you do not just select the literature that supports your point of view. You include all material that is relevant regardless of whether supports your view of the problem.

In the second case, the task will require some creativity. You will need to discover bodies of already existing literature that are indirectly relevant to your research questions. You will then draw inferences from this material to your specific concerns. Generally, the areas to look at are either broader than your specific concerns or analogous to them.

For example, let's say you wish to study factors that are related to client satisfaction with case management among individuals diagnosed with schizophrenia. If you find a paucity of literature about case management and even less on the clients' perspective, one possibility would be to examine the area of client satisfaction in general. You would then look for literature on client satisfaction that includes factors that you plan to address in your study. That is, you would not review all literature in the area of client satisfaction, but only that which is relevant to your study.

Methodology

This chapter includes the sub-sections Statement of Research Questions and Hypotheses, Definition of Concepts, Research Design, Population to be Studied, Nature of the Data, Data

Collection Procedure, Methods of Data Analysis, Statement of Limitations, Discussion of Ethical Issues, and Feasibility of the Study.

Statement of Research Questions and Hypotheses: You must have at least one research question which may or may not be accompanied by a hypothesis, and which must be stated succinctly and unambiguously. If you propose a hypothesis you should also give the rationale for it, i.e., why would you expect that finding or what justifies the hypothesis? Most proposals have more than one research question, with or without corresponding hypotheses. Research questions and hypotheses must be related to the literature that you review (see Locke et al., 2007, pp. 11-16).

Definition of Concepts: This section includes theoretical definitions of all major concepts that appear in the research questions and hypotheses and questions. Operational definitions are stated in a later section of the Methodology chapter. In addition to drawing major concepts from theories and previous research, proposals using qualitative methods can also be inductive in that they may produce new concepts.

Research Design: This section must identify the kind of research design to be utilized and explain why it is the best and/or most feasible to use in order to answer the research questions. When qualitative methods are proposed, the specific type of method (e.g., grounded theory or ethnography) must be identified, followed by a rationale for the use of the particular method, appropriate citations of methodological references, and an explanation of how the method will be implemented. The explanation should include the types of data to be collected (e.g., interview, observational, and/or archival data) and the projected number of interviews per person.

Population to be Studied: This section must identify the specific population that will be studied. It must also explain how many participants will be studied and the particular sampling method that will be used to identify and select the sample. How will participants be recruited? What criteria will be used for inclusion and exclusion of participants? Where will the study take place? If the study will be based in particular agencies, the suitability of the site must be explained as well as the plans for gaining site approvals. The number of participants proposed for quantitative studies should be based on a power analysis, which should be described in this section, i.e., specify the power and effect size that you have selected and the resulting sample size (see Cohen, 2008, pp.222-254). Although qualitative studies require fewer participants than quantitative studies, the sample should normally be no smaller than 25.

Nature of the Data: This section includes the types and sources of all data to be used in the study. Distinguish structured surveys and interviews (quantitative) from open-ended qualitative interviews and observation. If existing data are used (e.g., agency records or secondary analysis of an existing data set), describe the nature of the data and their sources. When quantitative methods are proposed, all major variables must be identified and a subsection on operationalization of the variables is commonly used. If relevant, specify independent and dependent variables, and the level of measurement for each variable. If standardized measures are used, describe their purpose, evidence of reliability and validity, prior use, content, response format, procedures for administration (including estimated length of time necessary for completion), and scoring procedure. If you developed your own measure, describe how it was

developed (including the steps that were taken or will be taken to ensure adequate reliability and validity) in addition to the content, response format, and administration and scoring procedures. Copies of actual measures must be placed in the appendices.

Data Collection Procedure: Includes the exact steps in sequential order that will be performed to collect the data. Samples of recruitment letters and consent forms are included in the appendices.

Methods of Data Analysis: For studies using quantitative methods, this section addresses the descriptive and (if applicable) inferential statistical methods that will be used to analyze the data (see Locke et al., 2007, pp. 80-83). For studies using qualitative methods, details of the analysis usually involve procedures for coding and development of themes.

Statement of Limitations: Includes any limitations you can foresee regarding any aspect of the study and a discussion of any mitigating factors or measures you propose in regard to these limitations (see Locke et al., 2007, p. 16-17).

Discussion of Ethical Issues: This section includes all issues and procedures related to protection of human subjects (see Locke et al., 2007, pp. 28-34). Discuss all likely and unlikely issues concerning the protection of research participants that might arise during the conduct of the study. Then present the steps that will be taken to minimize each of these risks (see tutorial provided by University Committee on Activities Involving Human Subjects at www.nyu.edu/ucaihhs).

Feasibility of Study: Includes issues related to feasibility of obtaining a sample, collaborative arrangements with agencies (if applicable), and the availability of resources needed to carry out the study.

Appendices

Include copies of actual questionnaires and interview or observation schedules to be used, in addition to any consent forms and recruitment materials for the study. After the proposal is approved (but before it is submitted to the UCAIHS), you must obtain official letters of permission from any agencies involved with the study.

References

This section contains an alphabetical listing of all cited references, strictly adhering to the format of the *Publication Manual of the American Psychological Association (5th ed.)*.

PROCEDURE FOR DEFENDING THE PROPOSAL

A complete draft of the dissertation proposal must be reviewed and approved by the dissertation committee chair before a proposal hearing can take place. In addition, the assent of all committee members should be obtained before scheduling the hearing. The student is responsible for making three copies of the proposal (assuming a three-member committee) and distributing one to each member of the committee. Note that students must present proof to the chair at or prior to the proposal hearing that they have passed the online tutorial in research

ethics provided by the University Committee on Activities Involving Human Subjects (UCAIHS).

Timeline for Scheduling the Proposal Hearing

Proposal hearings may take place only on Mondays through Fridays, at the School of Social Work, and during the academic year. They may not be scheduled on holidays, weekends, or during intersession periods. Although the date and time are negotiated between students and their committee members, the actual scheduling of the hearing and reservation of a room for it must be done by the program's Administrative Aide. Members of the committee should receive copies of the proposal to be defended *four weeks before the date of the hearing* in order to have sufficient time to prepare.

The Proposal Hearing

The chair of the committee convenes the hearing. Often the committee members will meet to discuss the proposal before the student joins the meeting. During the meeting the committee members may ask the student questions about any part of the proposal. The student will then be asked to leave the meeting while the committee discusses whether to approve the proposal.

As indicated on the dissertation proposal cover page (see Appendix D), the committee may approve the proposal without revision, approve it with minor revisions, approve it with major revisions, or disapprove it. A proposal must be approved by the majority of the committee members. If the proposal is approved with minor revisions, only the chair will need to review the revisions to determine whether they are satisfactory. If the proposal is approved with major revisions the revised proposal must be reviewed by all committee members, with or without a second hearing. If the proposal is not approved there is normally only one more opportunity to produce one that is acceptable. Dissertation committee members will utilize the following criteria in their review of the proposal:

- Clarity of problem formation and concepts
- Significance of the proposed study and its relevance to social work
- Scholarliness
- Appropriateness and specificity of design and methodology
- Feasibility
- Adherence to ethical standards in research
- The student's grasp of the content areas and research methods, as indicated by their answers to questions about the proposal

When the proposal has received final approval, one copy of it must be filed with the program's Administrative Aide. Note that unless the proposal was initially approved without revision, a new cover page must be signed by all committee members when revisions are approved. As required by the UCAIHS, this new cover page must indicate that the proposal has been accepted without revision.

Review by the UCAIHS

Once the dissertation committee has approved the proposal, students must complete the necessary paperwork for submission of the proposal to the University Committee on Activities

Involving Human Subjects (NYU's Institutional Review Board). The Committee meets monthly during the academic year, except in August. In general, proposals must be submitted at least two weeks prior to each meeting. However, proposals applying for exempt status can be submitted at any time. Procedures for the review of proposals and deadlines for submitting them are listed on the UCAIHS web page (www.nyu.edu/ucaihhs/review). Note that the original proposal (not a copy) should be submitted with the application, and the UCAIHS requires all consent forms to be typed on School letterhead.

STYLE AND CONTENT OF THE DISSERTATION

Dissertations must be prepared according to the style and format of the *Publication Manual of the American Psychological Association (5th ed.)*. Note that the *Manual* (pp. 321-330) has a useful section on dissertations and the ways in which APA format for them differs from the preparation of manuscripts for publication in journals. Before submitting the dissertation for defense, students should do a thorough reference check to make sure all sources that are cited in text appear on the reference list, and that each source listed on the reference list is cited in text. Errors in referencing format are not acceptable. Students should also make sure that the manuscript is free of typographical, spelling, and grammatical errors. Material should be presented in the following sequence:

1. Title page
2. Copyright
3. Dissertation Cover Page
4. Statement of Authorship Responsibility
5. Dedication
6. Acknowledgements
7. Abstract
8. Table of contents
9. List of tables and/or figures (if needed)
10. Statement of the study issue (chapter one)
11. Review of the literature (chapter two)
12. Methodology (chapter three)
13. Findings (chapter four)
14. Discussion and Implications of the Findings (chapter five)
15. References
16. Appendices (if needed)

The dissertation proposal comprises the first three chapters of the dissertation, with the exception that any language that was in the future tense in the proposal must be changed to the past tense in the final dissertation. For example, if the proposal stated that the study *will examine* the relationship of variable one to variable two, the final dissertation should state that the study *examined* the relationship of variable one to variable two. Below are guidelines for writing the chapters of the dissertation that are not part of the proposal.

Findings

This chapter presents the data that were collected, organized according to the study's hypotheses or research questions. For quantitative studies, an overview of the data is often presented first, followed by a more analytic discussion of hypotheses or questions. When particular data are presented fully in a table, only a summary of the same data should be included in the text. Conversely, when particular data are described fully in the text, they should not also be presented in a table. In qualitative studies, findings are often presented according to the themes that emerged from the analysis of raw data. By convention, past tense is used in the description of the findings.

There is great variability in the length of the findings chapter depending on the nature of the data collected. The most important thing is that the findings are summarized coherently and organized well conceptually to reflect on the issues originally framed as central to the study's purpose.

Discussion and Implications of the Findings

The main purpose of this chapter is to explain and give meaning to the findings, which includes comparing and contrasting your findings with those of previous studies of what had been predicted by theory. For studies that tested hypotheses, you must state whether the findings supported them. When hypotheses are not supported by the findings you must explain why you believe this happened. One approach is to reconsider your theoretical framework and present an alternate theoretical explanation for your result. In other words, you need to think if there is a different way of conceptualizing your study which would give a better explanation for your particular result. A second approach is to examine methodological reasons. For example, participants might have had difficulty with one of the measurement instruments you chose to use.

The simplest way to organize the discussion is to follow the organization of the findings chapter. But in addition to discussing each particular finding, you must also step back and look at the set of findings as a whole. Further thoughts, explanations, or meanings may become apparent to you when you look at the overall pattern that emerges. It is very likely that in discussing the findings you will need to reference literature that was not included in your review chapter, especially when using an alternative theoretical framework to explain unpredicted results or when providing explanations that derive from or are supported by other writings.

The discussion chapter also includes sections explaining the study's limitations, its implications for social work practice and policy, and suggestions for future studies.

Limitations: You should already have discussed some of the study's limitations in your proposal. Once the data collection and analysis have been completed other limitations may become apparent. Examples may involve unforeseen difficulties confronted in collecting data which led to bias or problems in data analysis due to a lack of variability in the data.

Implications for Practice and Policy: Just as the discussion relates back to the rationale for the study, the implications relate back to the study's significance. Generally, there are three types of implications: theoretical, clinical, and research. There should be a section for each of them.

Theoretical implications include ways in which your findings either support or refine an already existing theory or lead to the establishment of a new theory. Clinical implications involve ways in which the findings may impact clinical practice. Might they affect assessment, intervention strategy, or understanding of clinical phenomena? Research implications involve they ways in which the methods used in your study may impact future research efforts. For example, you may have adapted a measurement instrument for use in a new way or with a new population.

Future Research: In this section you recommend guidelines for future studies in your area of interest based on the findings you obtained. The findings usually raise additional questions. For example, if you have questioned aspects of your method, this can lead to suggestions for improvements in the method. Or, if you used an alternative theory to explain the findings, it may lead to questions that would test the new theory.

PROCEDURES FOR DEFENSE OF THE DISSERTATION

Following the standards of academic ethics and scholarship, the final dissertation must be entirely the student’s original work and writing, even if the student received statistical consultation or editorial assistance. Should it be determined that there were any violations of these ethics, the consequences could include disapproval of the dissertation or revocation of the degree.

The Ph.D. degree will not be awarded until all required revisions to the dissertation are completed, the dissertation is filed with the School, and all bills and fees are paid. Degrees are awarded in September, January, or May after successful defense of the dissertation. If the degree is awarded in September or January, graduates may participate in the School’s convocation and the University commencement the following May.

Deadlines for Defense and Deposit of Final Dissertations

	For September 2008 Graduation	For January 2009 Graduation	For May 2009 Graduation
Submission of completed dissertation to all members of committee	April 15	October 15	February 16
Email dissertation title and abstract to Program Office	May 15	November 17	March 18
Defense	May 30	December 1	April 1
Deposit of final manuscript with the School, and all fees paid	August 15	December 15	April 15

Scheduling the Dissertation Defense

Dissertation defenses must take place at the School of Social Work on Mondays through Fridays during the academic year. They may not be scheduled on holidays, weekends, or during intersession periods. Although the date and time are negotiated among students and their committee members, the program's Administrative Aide schedules the defense and reserves space for it. *The defense should normally be scheduled 4-6 weeks after submission of the dissertation in order to give committee members time to prepare.* Because the defense is open to all members of the School's community, time is also needed for distribution of an announcement of the event. Students must adhere to the deadlines listed below for submitting the final dissertation to their committee, the dissertation's defense, and deposit of the final manuscript. Note that the deadline for deposit of the final manuscript is not flexible. Students should schedule the defense early enough to allow for sufficient time to complete any required revisions to the dissertation.

The Dissertation Defense

As with the proposal, a complete draft of the dissertation must be reviewed and approved by the committee chair before a defense can take place. In addition, the assent of all committee members should be obtained before scheduling the defense. When the dissertation is deemed ready for defense, the student is responsible for making one copy of the manuscript for each committee member. The student also must email the title of the dissertation and abstract to the program's Administrative Aide no later than two weeks before the defense date.

The purpose of the defense is to determine how well the student can speak orally (rather than in writing) to the methods, findings, and significance of the study, and to provide an opportunity for the members of the committee to decide whether any further work is necessary before the dissertation is approved and the degree is awarded.

The chair of the committee convenes the defense. Often the committee members will meet to discuss the dissertation before the student joins the meeting. The student is usually asked to begin by summarizing the methods and findings of the study and to comment on their main implications. Committee members may ask the student questions about any part of the dissertation. When this dialogue is concluded, the student may be asked again to leave the room while the committee decides on the outcome. As indicated on the dissertation cover page (see Appendix E), the committee can accept without revision, accept with minor revision (chair to supervise and approve), accept with major revision (all members to review revisions, with or without another meeting with the student), or reject. The outcome shall reflect the majority opinion of the committee. The result is then communicated, with comments, to the student.

In the instance of a pass with minor revisions, students should make the revisions within four weeks and submit the revised manuscript to the chair for approval. In the instance of a pass with major revisions, the revised manuscript must be resubmitted to all committee members for approval in the manner described above. If the dissertation is accepted without revision, students proceed directly to filing the dissertation (see below).

After the Defense

Following the defense of their dissertation, students should see the program's Administrative Aide to receive the following important items:

1. *Publishing Your Dissertation* booklet
2. Survey of Earned Doctorates
3. Recycled black snap binders (if available—otherwise they can be purchased from the University Bookstore)

INSTRUCTIONS FOR FILING APPROVED DISSERTATIONS

After the dissertation has been successfully defended and any required revisions have been approved, students must submit to the program's Administrative Aide one original manuscript *on bond paper* (if unclear, ask to see sample), submitted in a box for binding and placement in the library's permanent collection. In addition, students should submit one clean photocopy of the manuscript in a black snap-back binder for the School's collection and additional photocopies for any members of their committee who desire one. The binders can be purchased at the University Bookstore. Students should ask the chair and other members of their committee whether they would like a copy of the dissertation in order to determine how many copies to make.

As noted previously, a 12-point standard font must be used (no italicized or *sans serif* fonts). Print size reduction of any page is not permitted. The entire manuscript must be double spaced, with the exception of block quotes and footnotes. A one-inch margin is required for the top, bottom, and right edges of all manuscript pages. The left margin requirement is one and one-half (1½) inches. All tables, figures, appendices, and references must fall within margin requirements. Page numbers should be placed at the bottom center of each page that is paginated (see below).

The original copy must be typed on 8½" x 11" acid free white paper, minimum 20 pound weight. The print must be letter quality, printed with dark black characters that are consistently clear and dense. Dot matrix printing is not allowed. Erasures, correction tape, and correction fluids cannot be used on any portion of the original document.

The final manuscript begins with the eight pages listed below in the exact order shown. These pages are not numbered. Pagination (1, 2, 3, etc.) begins with the first page of the first chapter.

1. Title Page

This page contains (in this order) the full title of the dissertation; the statement "A dissertation submitted in partial fulfillment of the degree of Doctor of Philosophy from New York University School of Social Work;" the student's full name; the month and year the student will graduate; and the full names and terminal degrees of committee members (with the Chair listed first followed by the others in alphabetical order).

2. Copyright Page

The copyright page contains only the statement "Copyright © (year) by (student's full name)." This statement is placed at the bottom center of the page, with the rest of the page blank.

3. Dissertation Cover Page

See Appendix E for an example of this form. It must bear the original signatures of all committee members (the chair listed first followed by the others in alphabetical order) and the date on which the final defense was held.

4. Statement of Authorship Responsibility

This page (see Appendix F) contains following statement: “I hereby guarantee that no part of the dissertation which I have submitted for publication has been heretofore published and (or) copyrighted in the United States of America, except in the case of passages quoted from other published sources; that I am the sole author and proprietor of said dissertation; that the dissertation contains no matter which, if published, will be libelous or otherwise injurious, or infringe in any way the copyright of any other party; and that I will defend, indemnify and hold harmless New York University against all suits and proceedings which may be brought and against all claims which may be made against New York University by reason of the publication of said dissertation.” The statement is followed by the student’s signature and the date of final submission to the Ph.D. Program office.

5. Dedication

On this page the student may choose to dedicate the dissertation to a person or persons who are significant to them.

6. Acknowledgements

On this page the student acknowledges the assistance of others in the development and completion of the dissertation. Usually this includes the chair and other members of the dissertation committee, agency representatives who made the project possible, and anyone else who facilitated the student’s work.

7. Abstract

The abstract page begins with a single spaced bibliographic header, using the following format:

Cammarata, C. September 11th, 2001 and the Fire Department City of New York (FDNY): A Search for Growth. New York University, Ph.D., May, 2008.

The header is followed by the abstract itself, which is a brief summary of the study that is written simply and clearly without jargon, footnotes, or citations to literature. The abstract must be double spaced, beginning with an indentation, and with a maximum length of 150 words. Abstracts that are longer than 150 words are unacceptable.

8. Table of Contents

Along with the final manuscript, the student must submit the following:

1. A certified check or money order in the amount of \$137 (fee subject to change) payable to *ProQuest Information and Learning (PQIL)* for copyright registration and microfilming.

2. One extra copy of the dissertation title page and abstract *on bond paper*, which will be sent to ProQuest.
3. Completed Survey of Earned Doctorates
4. Publishing Agreement and Authorization to Apply for Registration of My Claim to Copyright (forms obtained from the *Publishing Your Dissertation* booklet).

A microform and bound copy of the dissertation are filed in the library and become permanent University property. An additional bound copy will be retained for the School's permanent file.

GRADUATION PROCEDURES

Please consult the Registrar's website (www.nyu.edu/registrar/graduation/apply.html) for information about preparing for graduation. After it has been determined by the dissertation chair that a student is likely to graduate, students should contact the Registrar (212-995-4747) to register for graduation. Pay particular attention to the deadlines listed on the Registrar's website, since you will not be able to graduate if you register late.

The School of Social Work holds its Convocation each May to honor students graduating from all of its programs. Graduating Ph.D. students will have a doctoral hood conferred on them by their dissertation chair to commemorate their achievement, and the title of their dissertation will be printed in the Convocation program. Students who graduated in the previous September or January can participate in the May Convocation. Information about Convocation, including instructions for ordering caps and gowns, is available at www.nyu.edu/socialwork/students/graduation.html.

Degrees are conferred by the University President at the Commencement ceremony, which is usually held in Washington Square Park. Information about Commencement can be found at www.nyu.edu/commencement. Note that the Registrar will mail the diploma to you approximately 8-12 weeks after it is conferred. It is of the utmost importance that you make sure the permanent address listed for you on Albert is correct, since this is the address to which the diploma will be mailed.

REFERENCES

- American Psychological Association. (2001). *Publication manual of the American Psychological Association (5th ed.)*. Washington, DC: Author.
- Browne, M.N., & Keeley, S.M. (2007). *Asking the right question: A guide to critical thinking (8th ed.)*. Upper Saddle River, NJ: Pearson.
- Carnegie Foundation for the Advancement of Teaching (2001). *The Carnegie classification of institutions of higher education*. Princeton, NJ: Author.
- Cohen, B.H. (2008). *Explaining psychological statistics (3rd ed.)*. Hoboken, NJ: Wiley.
- Locke, L.F., Spriduso, W.W., & Silverman, S.J. (2007). *Proposals that work: A guide to planning dissertations and grant proposals (5th ed.)*. Thousand Oaks, CA: Sage Publications.

APPENDIX A

INDEPENDENT STUDY APPROVAL FORM

Student Name: _____

Student ID #: _____

Professor: _____

Number of Credits: _____

Semester and Year: _____

Focus of Independent Study:

Requirements for Grade (including meetings with professor and what will be produced):

Student Signature Date

Professor Signature Date

Ph.D. Program Director Date

APPENDIX C

REQUEST FOR APPROVAL OF DISSERTATION COMMITTEE MEMBERS

Student Name

Student ID #

Date

I hereby request approval of the following persons to serve on my Dissertation Committee, all of whom have agreed to serve in the roles as indicated below.

The preliminary topic of my dissertation is:

Name:

Academic Title:

Role on Committee:

Rationale:

Name:

Academic Title:

Role on Committee:

Rationale:

Name:

Academic Title:

Role on Committee:

Rationale:

Name:

Academic Title:

Role on Committee:

Rationale:

Signature of Program Director

Date

Note: Roles may be Chair or Committee Member. Rationale may include expertise on research methodology or substantive area of interest.

APPENDIX D

SAMPLE PROPOSAL COVER PAGE

[Proposal Title]

[Name]

A proposal submitted in partial fulfillment of the degree of
Doctor of Philosophy from New York University School of Social Work.

- Accepted Without Revisions
_____ [Type name of Committee Chair]
Committee Chair
- Minor Revision Required
(Chair to supervise)
_____ [Type name of Committee Member]
Committee Member
- Revision and Review Required
(Full Committee)
_____ [Type name of Committee Member]
Committee Member
- Rejected

Date: _____

APPENDIX E

SAMPLE DISSERTATION COVER PAGE

[DISSERTATION TITLE]

A dissertation submitted in partial fulfillment of the degree of Doctor of Philosophy from New York University School of Social Work

[YOUR NAME]

[MONTH AND YEAR OF DEFENSE]

Examining Committee Members:

[Chair's Name and Academic Degree]

[Committee Member's Name and Academic Degree]

[Committee Member's Name and Academic Degree]

APPENDIX F

STATEMENT OF AUTHORSHIP RESPONSIBILITY

I hereby guarantee that no part of the dissertation which I have submitted for publication has been heretofore published and (or) copyrighted in the United States of America, except in the case of passages quoted from other published sources; that I am the sole author and proprietor of said dissertation; that the dissertation contains no matter which, if published, will be libelous or otherwise injurious, or infringe in any way the copyright of any other party; and that I will defend, indemnify and hold harmless New York University against all suits and proceedings which may be brought and against all claims which may be made against New York University by reason of the publication of said dissertation.

Student Signature _____

Date of final submission to Ph.D. Program Office _____