



SCHOOL OF SOCIAL WORK  
COLORADO STATE UNIVERSITY

# Ph.D. in Social Work Program

## Student Handbook

2023-2024

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Colorado State University



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## Welcome to the School of Social Work at Colorado State University!

### Message from the Director of the School



Congratulations to you on launching your PhD journey at the Colorado State University School of Social Work! You have chosen to enter a community of ethical leaders with a passion for using scientific inquiry and pedagogy to advance equity and justice and improve the human condition. Regardless of where your degree takes you, your skills will allow you to translate knowledge into action for policy and practice.

As demand for social work practitioners increases, so does the need for skilled educators and scholars. You have entered a rewarding, and sometimes demanding, path to support the profession in its growth. You will build on your abilities to communicate effectively with practitioners, scholars, and policy-makers from multiple disciplines. During your time at CSU and beyond, you have the advantage of learning from a faculty comprised of international experts in areas including behavioral health, child welfare, equity and inclusion, social policy, and human-animal interventions. They bring knowledge from their research and practice to support social change and academic excellence. Their support and mentorship will inspire you to achieve great things!

From the bottom of my heart, I welcome you to our learning community. I wish you the very best now and throughout your career.

Charlotte Lyn Bright, PhD, MSW  
Director and Professor, School of Social Work



## Message from the Doctoral Program Director



It is a pleasure to welcome you to the PhD program in social work! You are joining a vibrant school that includes a BSW, MSW, and a PhD program. Since 2002, we have been admitting students into an Interdisciplinary PhD located in the School of Education and while this arrangement was very productive, the faculty felt it was important to work on a program within the School of Social Work. The Social Work PhD program was approved by the Governing Board and The Colorado Commission on Higher Education in the summer of 2011.

The School of Social Work at CSU is known for admitting excellent students; we consistently experience high rankings for our undergraduate and graduate programs. We place a heavy emphasis on providing students with challenging learning environments at all educational levels. The PhD curriculum – revised in 2018 – provides the necessary preparation for our graduates to become productive teachers, researchers, and advocates for social justice. Our faculty pursues active research agendas and provides the opportunity to participate in grants, publication writing, and teaching while you are pursuing your degree.

Whether you've lived in Colorado for many years or are an international student, whether you are pursuing your studies full time or part time, the School of Social work welcomes you to our learning community!

Best,

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## The School of Social Work – Our History

Throughout its history, the School of Social Work (SOSW) at Colorado State University has made a continuous effort to develop and maintain a program that is responsive to three distinct, but related, interests: 1) the profession of social work as represented by the Council on Social Work Education's Educational Policy and Accreditation Standards; 2) the human services agencies and clients in the state, the region, the nation, and the globe; and 3) the land-grant oriented mission and goals of Colorado State University. The following abbreviated history of social work education at Colorado State demonstrates how these three interests have merged to create and shape the social work education programs offered today.

In the mid-1960s, the U.S. government initiated a program (administered by state social services agencies) to increase the supply of social workers by making funds available through Title XX of the Social Security Act (and predecessor legislation) designed to encourage universities to create baccalaureate-level social work education programs. Although Colorado State University (CSU) had previously offered a few social work courses in its Department of Sociology, these courses did not constitute a program that would prepare a graduate for social work practice. In 1968, the Colorado Department of Social Services and CSU entered an agreement to create a full baccalaureate social work major that would be housed in the Department of Sociology, delivered by a faculty of professional social workers, and funded with Title XX funds supporting 75% of the program costs. The agreement anticipated that the cost of operating the program would gradually shift to the university and by 1977 it would be fully funded by CSU. A total of 150 students initially declared the social work major, and the first graduating class received the BA in social work in 1971.

In 1970, the Council on Social Work Education initiated a process of accreditation for baccalaureate social work education by granting "approval" status to 151 schools that met the established criteria. CSU was one of the first universities to attain that national recognition. Four years later "approval" was upgraded to professional "accreditation," and again, CSU was among the first 135 baccalaureate social work education programs to achieve full accreditation – which has been maintained continuously since that time. Enrollment surged to a high of 375 majors during the mid-1970s, and it was necessary to cap the major at 325 students because new resident instruction resources were devoted to taking over the agreed-upon increasing percentage of program costs rather than funding new faculty positions to meet the growing student demand. In the 1980s, the stated goal of the Reagan administration to dismantle public human services discouraged students from majoring in social work (both at CSU and throughout the United States), and the number of majors at CSU dropped below the cap to as few as 177 in the mid-1980s.

In 1976 an outreach innovation was introduced aimed primarily at assisting public social services workers to improve their competencies and credentials. Again making use of federal funds available through Title XX, a distance education program was developed, designed to help persons who possessed baccalaureate degrees in other disciplines obtain a "second bachelor's degree" in social work. Achieving this second bachelor's degree also allowed these students to complete a master's degree in social work in a reduced period of time (i.e., advanced standing) in many MSW programs throughout the United States.





By that time, the new department's programs were completely funded by the university, and plans were initiated to create a master's level social work education program (MSW). It was determined that the second bachelor's degree would be phased out and its resources devoted to developing the MSW. At that time, no MSW programs existed in the states of Idaho, Montana, Wyoming, North Dakota, or South Dakota and the only other accredited social work education program in Colorado was the MSW program offered at The University of Denver (DU). The MSW program at DU was primarily oriented to specialized social work practice delivered in the Denver metropolitan area, and the tuition at that private university was viewed as prohibitive by many potential social work students. Given CSU's land-grant mission to serve people throughout Colorado, the recognized needs of the neighboring states that did not offer the MSW, and the desire to avoid direct competition with DU, the proposed MSW program was oriented to preparing advanced generalist social workers especially capable of responding to the human services needs of small towns and rural areas or communities that were undergoing rapid transition (e.g., energy boom/bust towns, urban sprawl). That focus was later expanded to include preparation to serve residents in urban areas, especially along the Front Range.

In July 1984 the MSW program was approved by the Colorado Commission on Higher Education and in June 1985 it was accepted into candidacy for accreditation by the Council on Social Work Education. Eligibility for initial accreditation was achieved in 1986, and fully accredited status was granted in 1992. The first class of 18 master's level graduates received their degrees in 1986.

Another major program innovation was approved by the Colorado Commission on Higher Education in 1990 when an alternative MSW program (with the University of Southern Colorado in Pueblo) was initiated. The University of Southern Colorado (USC), a sister university in the Colorado State University System, had by then achieved accreditation for its baccalaureate social work program and joined CSU in making the MSW accessible to students from the southern part of the state. The inclusion of USC in this social work education effort also was intended to recruit a more culturally diverse student body than is found in northern Colorado. Approval of this alternative program was granted by the Council on Social Work Education in 1992, and the first 23 students graduated in 1994. This effort became the Colorado State University System's first cooperative program. In 2003, USC merged with CSU and is now named Colorado State University – Pueblo.

CSU School of Social Work further expanded its outreach efforts by admitting a cohort of 27 students living in the Western Slope to the MSW program in 1998. Students took their graduate courses in Grand Junction over a four-year period. The first Western Slope class earned MSW degrees in May 2002. The School of Social Work admitted a second cohort of Western Slope MSW students in fall 2003. These students graduated in May 2006. The first Colorado Springs Distance MSW cohort of students graduated in December 2008. The second cohort began in January 2009, and graduated in December of 2011. A third cohort was admitted in Colorado Springs in January 2012. In January 2010, the first Central Colorado MSW cohort was admitted. The Central MSW program was initiated in response to a growing demand for our weekend distance MSW from across the state of Colorado and beyond. The Central cohort held classes in Thornton and graduated in December 2012. In January 2015, distance programs were converted to a hybrid model with much of the class experience offered in an online format while two weekends per semester are required for face-to-face classroom experiences. Currently the distance program is offered through three cohorts along the Front Range.



In an effort to continue to meet the needs of students and the community, the School of Social Work piloted an Advanced Standing program for students with BSW degrees from undergraduate social work programs accredited by the CSWE. Approximately 30-35 students with BSW degrees from accredited schools are admitted each year since.

Consistent with its roots in supporting the human services agencies, the CSU School of Social Work has devoted considerable effort to outreach activities. Substantial collaborations have been in the areas of research, curriculum development for and provision of statewide training to county child welfare and child protection workers. In 2002, the name of the Department of Social Work was officially changed to the School of Social Work to more accurately reflect the increased breadth of activities across national and in international arenas.

The Social Work Research Center (SWRC) was approved in 2004 representing collaboration between Colorado State University (School of Social Work) and community partners. Examples of community partners include County Departments of Human Services in Colorado (i.e., Larimer, Boulder, Adams, El Paso, Arapahoe, Broomfield, Pueblo, Weld, Broomfield, and Jefferson Counties), The American Humane, and Larimer County Mental Health. The purpose of these collaborations is to create formal links between human services agencies and higher education by researching and evaluating innovative and standard programs and research affirmed practices to advance social work practice and theory, promote social welfare and social justice, and enhance learning and practice in such areas of child welfare and juvenile delinquency. The mission of the Center is to serve the people of the State of Colorado, as well as at national and international levels, in the area of social work. The Center provides support to faculty, students, and community partners. It also facilitates training, mentoring and program development services to social welfare agencies, governmental departments, community groups, students, and faculty.

In 2006, the Social Work Center for Lifelong Learning and Outreach Education (CLOE) was established. The Center for Life Long Learning and Outreach Education develops, administers, and integrates degree and non-degree educational programs that extend outside the on-campus degree programs of the School of Social Work. The Center provides oversight to maintain high quality programs that are consistent with the mission and goals of the School of Social Work, the College of Health and Human Sciences, and Colorado State University. CLOE fosters increased faculty and student involvement in community improvement as resources for social workers and human service personnel, providing lifelong learning opportunities, and engaging alumni in both providing and participating in the educational opportunities offered by the Center.

Since the middle 1990's faculty in the School of Social Work explored various options related to establishing a PhD program in Social Work. In 2002, the School of Social Work requested the opportunity to join the Interdisciplinary PhD program within the School of Education. A curriculum for a Social Work concentration was proposed and accepted by the School of Education's Graduate Committee. The first cohort of PhD students with a desire to pursue the Interdisciplinary degree with a Social Work concentration was admitted in the fall of 2002. Since that time, student cohorts have been admitted every other year. In the fall of 2006, a committee of faculty in Social Work began the application process to develop a PhD in Social Work. Final approval for the proposal was received in the summer of 2011 from the Board of Governors and the Colorado Commission on Higher Education. The first cohort of students for the PhD in Social Work was admitted for the fall semester of 2012.



## The School of Social Work

### Mission

The School of Social Work strives to create an anti-racist, anti-oppressive, and liberatory learning community. We prepare leaders who demonstrate excellence in practice, research, advocacy, and community engagement across local and global settings.

### School Goals and Objectives

#### Research

Conduct high impact interdisciplinary research, which incorporates principles of social, economic and environmental justice and seeks to improve lives and well-being for all.

1. Maintain the highest standards of ethical scientific integrity and inquiry.
2. Advance the social work knowledge base regarding diverse populations by conducting culturally responsive research.
3. Move the social work field of practice forward through increasing peer reviewed, research-based publications, presentations, and student mentoring.
4. Increase interdisciplinary research and grant activities to enhance theoretical innovation, scientific methodology, and outcomes.
5. Conduct translational research responsive to Social Work Grand Challenges and emerging trends impacting social work practice and policy.

#### Teaching/Mentoring/Advising

Through exemplary teaching, mentoring, and advising, prepare students with critical-thinking and practice skills to generate change that advances social, economic and environmental justice and improves human well-being.

1. Maintain high retention and graduation rates through exemplary advising, teaching, and mentoring.
2. Provide high-impact, experiential learning opportunities such as field education, practicums, service learning, study abroad, and community engagement.
3. Advise and mentor students for leadership, professional development and lifelong learning.
4. Create a culture of challenging academic standards and expectations based on theoretically informed scientific inquiry and best practices.
5. Infuse cultural diversity and inclusion across the curriculum and the learning environment.
6. Educate students to apply critical thinking to analyze current systems, formulate interventions and advocate for improved human rights and well-being.



## Outreach, Service, and Engagement

The School of Social Work will lead engagement between the University and communities to promote life-long learning and advance social, economic, and environmental justice.

1. Actively engage with local and global communities to promote enhanced service quality and equity for all persons.
2. Engage in academic-community partnerships to conduct and disseminate research that informs community-based programs and services.
3. Expand student opportunities for engagement with local and global communities to learn and practice cultural humility.
4. Provide opportunities for social action and advocate for human rights and environmental justice at all system levels.

## Diversity

As recognized leaders, the School will utilize critical lenses to promote diversity, equity, social justice, human rights, and inclusive excellence through culturally responsive education, research, and outreach.

1. Educate about the systemic effects of race, racism and the mechanisms of power and privilege as they perpetuate oppression and marginalization.
2. Develop a culturally inclusive School environment and activities that promote self-awareness, cultural humility, respect and appreciation for the dignity and worth of all people.
3. Increase diversity among students, faculty and staff.
4. Increase faculty and student participation in multi-cultural curriculum projects and pedagogical training in diversity and cultural responsiveness.
5. Cultivate a student body that respects diversity and addresses inequities through education, research, and outreach.
6. Increase faculty engagement and leadership in opportunities to promote inclusive excellence across local, regional and global communities.

## Resources

The School will provide the administrative support and resources necessary to accomplish identified goals.

1. Acquire and maintain appropriate technology to support the needs of faculty, staff, and students.
2. Identify funding for building revitalization.
3. Create funding base for supporting students through increasing scholarships and research/teaching assistantships.
4. Provide resources for faculty and staff professional development.
5. Increase number of faculty.
6. Allocate sufficient resources to allow for effective and efficient school functioning.
7. Establish class sizes that allow for engaged learning.



## Doctoral Program Mission and Goals

### Mission

The PhD program prepares scholars to advance the art and science of Social Work through education, research, and the pursuit of social justice.

### Goals

Our program mission is accomplished by preparing PhD graduates to:

1. Empower future social work practitioners through state-of-the-art pedagogical approaches to professional education.
2. Engage in compelling, interdisciplinary research that enhances health and well-being across local and global community systems.
3. Generate and disseminate knowledge through education and research that transforms professional practice and social policy.
4. Advance social, environmental, and economic justice through professional education, community-engaged scholarship, and transformative leadership in the field.



## PhD Program Curriculum Overview

### Curriculum

The curriculum leading to the degree of Doctor of Philosophy in Social Work combines a core curriculum in social work with outside coursework drawn from related disciplines and includes thorough training in research methodology and data analysis. At the same time, the curriculum allows the student reasonable flexibility in tailoring programs of study to their special area(s) of interest under the guidance of their advisor and committee.

### Program of Study

*Subject to Change Depending on Course Availability*

#### Full Time

Courses	Fall	Spring
<b>YEAR 1</b>	SOWK 701 (3 credits) SOWK 706 (3 credits) 1 Methods or Elective Course* (3-4 credits)	SOWK 704 (3 credits) 2 Methods or Elective Courses (3-4 credits)
<b>YEAR 2</b>	SOWK 702 (3 credits) SOWK 703 (3 credits) 1 Elective (3 credits)	SOWK 705 (3 credits) Elective/Research Course (3 credits) Elective/Research Course (3 credits)
<b>YEAR 3</b>	Elective/Research Course (3 credits) Preliminary Exam**	Dissertation Proposal Defense
<b>YEAR 4</b>	Dissertation	Dissertation Defense

\*Students can select from the following courses for the statistics and qualitative methods requirements OR they can seek approval from the PhD Program Director for an equivalent course offered at CSU that meets the requirements

1. Statistics: Students must take 2 statistics courses and can take STAT 511/512 (both 4 credit courses), PSY 652/653 (both 4 credit courses), or EDRM 606/701 (both 3 credit courses) or seek approval for an equivalent.
2. Qualitative Methods: Students must take 1 qualitative methods course and can take EDRM 704, JTC 665, or SOC 610 or seek approval for an equivalent.

\*\*For full time students, the preliminary exam will be completed over the summer between the 2<sup>nd</sup> and 3<sup>rd</sup> year (due on August 15<sup>th</sup>).

The program includes 48-50 hours of post-Masters credit, including 15 credits in social work, 12-14 credits in research courses, 9 elective credits (with one 3-credit course required to be an additional research course), and at least 12 dissertation hours. This schedule does not account for summer courses, but students may choose to complete required courses in the summer.



## Social Work Courses:

### **SOWK 701: Contemporary Issues in Social Work**

Course Description: Issues and trends currently impacting social work research, professional education, and practice.

### **SOWK 702: Social Welfare Policy**

Course Description: Social policy analysis and impact on social welfare systems and programs.

### **SOWK 703: Pedagogical Approaches in Social Work**

Course Description: Pedagogy and practices for teaching social work curriculum.

### **SOWK 704: Theory for Applied Social Sciences**

Course Description: Nature and processes of theory building in social sciences. Issues of epistemology, logic, political and moral philosophy.

### **SOWK 705: Systematic Research for Scientific Inquiry**

Course Description: Systematic research in areas of interest that summarizes findings from available studies and provides a critique of the current body of evidence in this area.

### **SOWK 706: Advanced Research Methods for Social Work**

Course Description: Qualitative and quantitative social work research methods centered on anti-oppressive and anti-racist frameworks. Topics include ethics and power in research; developing research questions and hypotheses that advance anti-oppressive practice and policy in the field; research designs; sampling and measurement consideration from an anti-oppressive lens; critiquing and evaluating research from an anti-oppressive framework.

## Research Courses:

### **EDRM 606: Principles in Quantitative Data Analysis (3 credits)**

Course Description: Quantitative data analysis in social science research; descriptive statistics; fundamentals of inference

### **EDRM 701: Applied Linear Models (3 credits)**

Course Description: General linear model applications in educational research emphasizing conceptual understanding and characteristics of non-experimental designs.

### **STAT 511: Design and Data Analysis for Researchers I (4 credits)**

Course Description: Statistical methods for experimenters/researchers emphasizing design and analysis.

### **STAT 512: Design and Data Analysis for Researchers II (4 credits)**

Course Description: Advanced statistical methods for experimenters and researchers emphasizing design and analysis.



**PSY 652: Methods of Research in Psychology I (4 credits)**

Course Description: Psychological research emphasizing hypothesis testing and simple research designs, introducing general linear model approach.

**PSY 653: Methods of Research in Psychology II (4 credits)**

Course Description: Advanced research designs emphasizing general linear model approach.

**EDRM 704: Qualitative Research (3 Credits)**

Course Description: Examination of qualitative research theory, methods, and applications to education and the social sciences.

**SOC 610: Seminar in Methods of Qualitative Analysis (3 Credits)**

Course Description: Examination and application of qualitative techniques of analysis.

**JTC 665: Qualitative Methods in Communication Research (3 Credits)**

Course Description: Techniques for collecting; interpreting, analyzing qualitative communication data.

## Three additional 3-Credit Graduate-Level Elective Courses are required

Interdisciplinary graduate-level electives can stem from any department at CSU; the following departments are commonly selected by our PhD students: Economics, Education, Human Development and Family Studies, Psychology, Sociology, and Political Science. At least one of these electives must be an additional research methods course. Research courses may be in the School of Education or elsewhere in the University as approved by your advisor. Please note courses are subject to change; make sure to check the course catalog for availability.

***Additional Social Work electives that can be taken to fulfill the elective requirements:*****SOWK 784**

Supervised College Teaching

Note: Students interested in taking this course must complete the Supervised College Teaching Form

**SOWK 786**

Research Practicum

Note: Students interested in taking this course must complete the Research Practicum Form

**SOWK 795**

Independent Study

Note: Students interested in taking an independent study must complete the Independent Study Form

***In addition, students must register for at least 12 dissertation hours (SOWK 799).***





## Progress to the Doctorate

### Introduction

Earning the Doctor of Philosophy degree involves considerably more than the completion of credits through coursework. You must also apply the skills and knowledge learned in the classroom toward the dissertation, which represents a distinct, higher-level, and culminating effort.

Milestones in the process include:

- Application
- Admission
- Enrollment and Registration
- Committee and Program of Study
- Preliminary Examinations
- Dissertation Proposal
- Dissertation
- Graduation

Each of these is discussed in further detail below. Also included are a Quick Guide to the preliminary and dissertation process, a Progress to the Doctorate Checklist, and a forms checklist.

### Application

In order to be considered for the program, potential students must complete the application process for the School of Social Work and the Graduate School. The required application documents are located on our program [website](#). Applicants should contact the PhD program office prior to applying to the program. Ph.D. applications are due January 1<sup>st</sup> for fall admission. Please keep in mind we accept applications every other year. All materials must be received before the deadline to be considered. Enrollment in graduate-level classes either on or off the campus does not constitute admission to the PhD program.

A statistics course is required within the two years prior to enrollment. Note this requirement does not have to be satisfied before admission, but rather before enrollment.

If the graduate admissions committee determines the applicant does not have a sufficient background in any of the core areas required by the program, the committee may prescribe additional course work prior to enrollment. Courses taken to meet these prerequisite requirements cannot be used to meet program requirements.

A maximum of 10 additional credits taken after completion of the master's degree can be transferred into the program if appropriate. The decision as to whether or not post-master's coursework may be transferred into your Ph.D. program is solely at the discretion of the PhD Program director and must be approved by the Graduate School. All courses to be applied toward fulfilling the requirements for a



doctoral degree must have been completed within the ten years immediately preceding the date of completion of requirements for the doctoral degree.

## Application Requirements

Applicants must have the following:

- Master's degree in social work (M.S.W.) or an allied discipline from an accredited institution
- A completed Statistics course within two years prior to enrollment (if admitted)

Note: We will give preference to applicants who have an MSW. Further preference will be given to applicants who have an MSW and at least 2 full years of post-MSW professional practice experience.

Required Application Materials:

To be uploaded to the Graduate School's online application during the application period:

- **Resume/CV**
- **Official transcripts** from each post-high school institution attended. To be official transcripts must be sent directly from the issuing institution to CSU. If the transcripts are in a language other than English, we require that certified translations accompany the transcripts. (Exception: Colorado State University transcripts do not need to be sent).
- Three **letters of recommendation**, at least one of which should be from a former professor and speak to the applicant's ability to succeed in the Ph.D. program. The letters must be uploaded directly from the person recommending you to the Graduate School application site. You provide CSU with the email addresses of those submitting recommendations, and CSU then sends those people instructions on submitting the recommendation.
- **Personal Statement** that addresses your practice background, your reason for pursuing a Ph.D. in Social Work, your research interests, your interests in CSU's School of Social Work, and your future goals. It should be between 3-5 pages double-spaced.

Also, please note:

- **International students** are required to score a minimum of 550 (Paper based) or 80 (internet based) for TOEFL; 6.5 for IELTS.
- **WICHE/WRPG** If you live in the Western United States Region outside of Colorado, and would like to apply for in-state tuition with WICHE/WRPG, you can indicate this in the online Graduate School application.

Please note application requirements may be subject to change by our department, the Graduate School, and/or the CSU Office of Admissions.

## Admission

Students admitted into the program will receive notice of admission by email from the Graduate School and a letter of acceptance from the School of Social Work. Students should reply to the School of Social Work with their intent to accept or decline admittance by April 15<sup>th</sup>.



Admission is considered invalid if you do not enroll in the term the admission notification indicates. Admission can be delayed if needed by submitting an official request to the PhD program director for a change in the admission term.

Instructions on how to access RamWeb will be included in the acceptance letter from the Graduate School. Students should follow the instructions given and familiarize themselves with RamWeb prior to registration.

## Registration

Prior to registering for each semester, students must make an appointment with the PhD program director. During the first semester, this meeting will include developing a tentative program of study. Each semester thereafter students should make an appointment prior to registration to review and revise their program of study. **Students will not be able to register until this meeting occurs each semester.**

New students should familiarize themselves with the registration procedures as outlined on the CSU Registrar's [website](#). Students can register for the appropriate courses on [RamWeb](#). Address and email changes must be kept current with the School of Social Work and Office of Admissions and Records.

All students admitted to a graduate program at Colorado State University are required to be continuously registered in the fall and spring semester throughout their degree programs. This policy applies from the time of first enrollment through the graduation term. Students may fulfill this requirement by registering for any graduate credit-bearing course.

In some situations, students may register for Continuing Registration (CR) instead of credit-bearing courses. Enrollment in CR should only be used when students are not actively working toward degree requirements. This might occur due to extenuating circumstances or during the student's graduation semester after all requirements have been cleared during the previous semester. CR credits must be cleared with the PhD program office prior to registration. Please contact the PhD program office for detailed policy or questions regarding CR.

There is a **ten-year** time limit for completion of the doctoral degree. Courses to be applied toward fulfilling the requirements for the master's and doctoral degrees, including any which may have been transferred from another institution, must have been registered for and completed within the ten years immediately preceding the date of completion of requirements for the degrees (Graduate and Professional Bulletin).



## Program Withdrawal or Non-Continuous Registration

There are several ways that social work graduate students may exit the PhD program prior to successful completion of the curriculum and graduation: a graduate student may voluntarily withdraw from the PhD program; may be dismissed from the program for scholastic or non-scholastic reasons; or may fail to continuously register in the PhD program (see above). The School of Social Work will not consider re-admission applications from students dismissed from the program for scholastic or non-scholastic reasons. A student who, voluntarily withdrew from the program or failed to continuously register, may re-enroll in the PhD program by formally reapplying to the School of Social Work and to the Graduate School. The student application will be reviewed by the admissions committee following the normal admissions process. Readmission is not guaranteed.

## Graduate Committee and Program of Study

Prior to registering for the fourth semester courses, students are required to select a Graduate Committee and complete a GS-6 Program of Study Form. **Note:** All graduate school forms, like the GS6, are now electronic and can be accessed via students' RAMWeb Account.

### Graduate Committee

During the first year of the program, students should begin to identify possible faculty mentors who can serve as the chair of their graduate committee. Once a chair has been identified, this person will serve as the student's advisor. The advisor will help the student identify additional committee members; identify possible electives that will advance their substantive and methodological expertise needed to develop their independent research products, including the preliminary exam and dissertation (described further below); and advise the student of possible career trajectories. Students should choose committee members carefully as they will pass judgment on their abilities as a student, a researcher, and a professional.

**Note:** It is recommended that students and advisors consider developing a mentoring agreement similar to the one described above for structuring graduate research assistantships. See Appendix C for the mentoring agreement form.

Guidelines for choosing members include selecting individuals who: (a) bring necessary substantive and/or methodological expertise to effectively support the preliminary exam and dissertation projects; (b) have a history of working well together; (c) have research interests similar to yours; and (d) complement each other well in their coverage of the knowledge you want to attain in your program of study. Selection of graduate committee members should be finalized on the GS-6 Form and must be approved by the PhD Program, the student's advisor, and the CSU Graduate School.

The committee must consist of at least four faculty members who include: (1) Advisor/chair from the School of Social Work; (2) Two members from the School of Social Work; and (3) An outside committee member from an outside department. Please visit the Graduate School's [website](#) for additional guidance on forming a committee.

Regardless of how carefully committee members are selected, there may be a need to change or replace committee members. This is a common occurrence, especially during the dissertation phase of the PhD program. To change a committee member, students should have a well-considered and justifiable reason. Committee changes are completed with Form GS9A.



## Program of Study

Once an advisor is identified, the student will review courses and complete a SOWK 01 – Program of Study Review form with their advisor's guidance. In some cases, a student's Graduate Committee may suggest or require additional classes to be added to the Program of Study. This form is helpful when completing the online GS-6 with the Graduate School.

The Program of Study must be approved by the Graduate School and is considered a contract for the actual courses that students will be required to complete the degree. Each semester the program of study will be reviewed by the PhD Program Director in the pre-registration meeting described above. This meeting is **required** before students can register for the next semester. If changes are made to your Program of Study you do not need to submit a new GS-6. The changes can be implemented, with approval of your advisor, when you apply for graduation.

Students must maintain a minimum grade point average of 3.0 in the courses listed in their Program of Study. They must complete each course on the Program of Study with a grade of B or better, or with a grade of S if the course is offered on a pass/fail grading basis.

## Preliminary Examinations

The purpose of the preliminary exam is to assess the student's ability to critically appraise and describe the evidence in a substantive area of interest; identify the social justice implications for the substantive area as well as the methods identified to address the proposed research questions; identify and apply theory to this substantive area; clearly articulate gaps in the literature base; apply quantitative or qualitative methods to address key gaps in the literature; and describe the practice and policy implications for addressing these gaps. The outline below details each of these sections. The exam should be a double-spaced paper that does **not** exceed 50 pages (excluding references and any appendices).

For full-time students, the preliminary exam will be proposed at the end of the second year of coursework by May 15<sup>th</sup>. Students will then have 3 months to complete the exam to be submitted by August 15<sup>th</sup>. Only under special circumstances will extensions be granted. For part-time students, the exam will still be completed within 3 months; specific deadlines will be determined by the completion of all required coursework.

**Note:** The preliminary exam can be taken while students are still completing elective credits, but it cannot be taken until *all* required coursework is completed.

The exam will be proposed to and graded by each student's graduate committee. This committee – which is comprised of the student's advisor or chair, two additional faculty members from the School of Social Work, and a faculty member from an outside department – will review the exam proposal and come to consensus about exam expectations. For full time students beginning their exam by May 15<sup>th</sup>, this committee meeting to review the exam proposal should take place before this May 15<sup>th</sup> start date. Full-time students who receive an extension as well as part-time students should negotiate the exam timeline during this oral review based on the 3-month required completion.

This committee will also review the exam within two weeks of submission and provide written feedback noting questions, concerns, and areas of strength by September 1<sup>st</sup>. The oral review of the committee's



feedback should occur within two weeks of when the student and their advisor receive written feedback from each committee member; this oral review should take place by September 15<sup>th</sup>. Please note these specific dates are relevant only for full-time students beginning their exam by May 15<sup>th</sup> at the end of their 2<sup>nd</sup> year. Full-time students who receive an extension and part-time students will likely be on another timeline to be determined at the exam outline review meeting.

A grade of pass or revise & resubmit will be given by the committee. If a revise & resubmit is given, students will have 3 months to complete the revision and resubmit it for the committee's review. At this time, a grade of pass or not pass will be given by the committee. Since only 1 retake is allowed, students who do not pass will be dismissed from the program.

The GS16 must be submitted **within two working days** after successful completion of the preliminary exam.

*See Appendix A for a detailed outline of and grading rubric for the preliminary exam.*

## Dissertation Proposal

Following passing of the preliminary examination, the student will prepare the dissertation proposal. If following the traditional book length dissertation format, the proposal usually will consist of a draft of the first three chapters of the dissertation, which are the introduction, literature review, and methodology. This draft should **not** exceed 50 pages. Sections of the preliminary exam may be used in the dissertation proposal and in the final dissertation product. These chapters will be further developed and finalized once the proposal is approved. If selecting the Multiple Article Option (MAO), the proposal will include an introductory chapter (Chapter 1) that describes the problem under study, outlines each of the 3 articles that will be included and a list of proposed journals, a timeline for completion, and other aspects as described in the MAO policy in Appendix B.

To assist with dissertation completion, the student and advisor are required to complete the Dissertation Proposal Planning Form (SOWK-07) and submit it to the PhD Program Office within one month of completion of the Preliminary Exam.

If the dissertation research is based on a faculty member's project, issues about co-authorship of material to be published from the dissertation are to be discussed and an agreement specified in writing should be a part of the dissertation proposal. See the APA website on [Publication Practices and Responsible Authorship](#) for guidance. If circumstances change during the course of the dissertation research, the written agreement will be revised. See further guidance on co-authorship and copyright issues when pursuing the MAO dissertation.

When the advisor and the student agree that the proposal is complete, it will be circulated to committee members at least two weeks before the proposal defense. The proposal defense should include a brief presentation of the dissertation proposal and allow time for questions and feedback from the committee members. The committee will provide feedback to the student and must conclude with a pass before the student can move onto conducting their dissertation research. A pass signifies that members of the committee believe that it sets forth a satisfactory plan for research study and the student may proceed with their dissertation. A pass can be given even if the committee recommends revisions to the proposed research. The committee may ask to see a revised proposal before a pass is given. Approval of the proposal (**pass**) requires the unanimous approval of all members of the student's



committee. Once the committee approves the proposal, a SOWK-09 form will be signed by all committee members and submitted to the School of Social Work's PhD Program Office.

## Dissertation

The PhD Dissertation and Defense are the final steps in completing the PhD program. Students writing their dissertation should work closely with their advisor and committee to make sure it is progressing as planned. Please refer to the Graduate School [website](#) on the dissertation about the format, submission process, and responsibilities of advisors and students.

When the student and advisor agree the dissertation is complete, a final oral Dissertation Defense should be arranged. It must be held prior to the end of the eleventh week of the graduating term for fall or spring semester and by the end of the fifth week of the eight-week summer term. Voting at all final examinations shall be limited to the members of your committee and a majority vote is necessary to pass the examination. Signatures of all committee members are required on the GS-24 Form indicating whether they vote to pass or fail.

All Final Oral Dissertation Defenses are open to the public. Doctoral students are encouraged to attend several dissertation defense meetings during their program to better understand the process prior to defending their own work.

Students must submit a Thesis/Dissertation Submission Form and the Survey of Earned Doctorates confirmation certificate to the Graduate School and then submit their dissertation electronically. See the Graduate School [website](#) for more information.

## Human Subjects in Research

The University is required to comply with the federal regulations governing review of research that involves human subjects. Annually we must assure the Office for Human Research Protections (OHRP) that the University is complying with the requirements of 45 CFR 46. This is an NIH reference but has been incorporated virtually verbatim into the regulations of 16 other federal agencies; additionally, the regulations state that the University will apply the same standards to all projects involving human subjects, regardless of funding or funding source. Activities are to be reviewed as proposals and may not wait until funding for the activity is forthcoming.

No dissertation using human subjects will be accepted by the Graduate School without an IRB approval number. Information on obtaining an IRB number and use of human subjects can be found at the Office of the Vice President for Research [website](#).

Any activity involving human subjects is subject to review, including soliciting questionnaires and surveys, videotaping activities, audio taping, observing behavior, and obtaining individually identifiable data about a person.

Prior to submitting your application, you must attend a training on campus or online. Information about training availabilities can be found on the IRB [website](#).

Please see the [IRB website](#) for deadlines for submission and meeting dates for the Social and Behavioral Science IRB. Submit the application via [Kuali IRB system](#). Following the meeting (on the 3rd





Thursday of each month), an email from the IRB regarding the IRB's determination will be sent to the PI (and all personnel listed on the protocol) within 10 working days.

A researcher may not initiate human participant involvement (including recruitment and/or records access) until an IRB approval number for the project is received.

## Graduation

To apply for graduation, you must complete the GS-25 Form and have it signed by your advisor and the PhD Program Director. This is due to the CSU Graduate School by the end of the fourth week of the graduation term for fall or spring semester and by the first week of the eight-week summer session for those graduating that term. You must be enrolled for a minimum of one credit or continuing registration in the term in which you graduate.

In addition, students must complete form GS-30. This form is required of all PhD students submitting a dissertation after the final dissertation has been reviewed and approved by the student's committee. The completed and signed form must be submitted to the Graduate School Office by the published deadline date of the student's graduating term and before the electronic submission of the thesis or dissertation.

You are requested to attend the graduation ceremony where you will be hooded by your advisor at the Graduate School ceremony. Ceremonies are held at the end of the Fall and Spring terms. Summer graduates are requested to attend the Spring ceremonies.

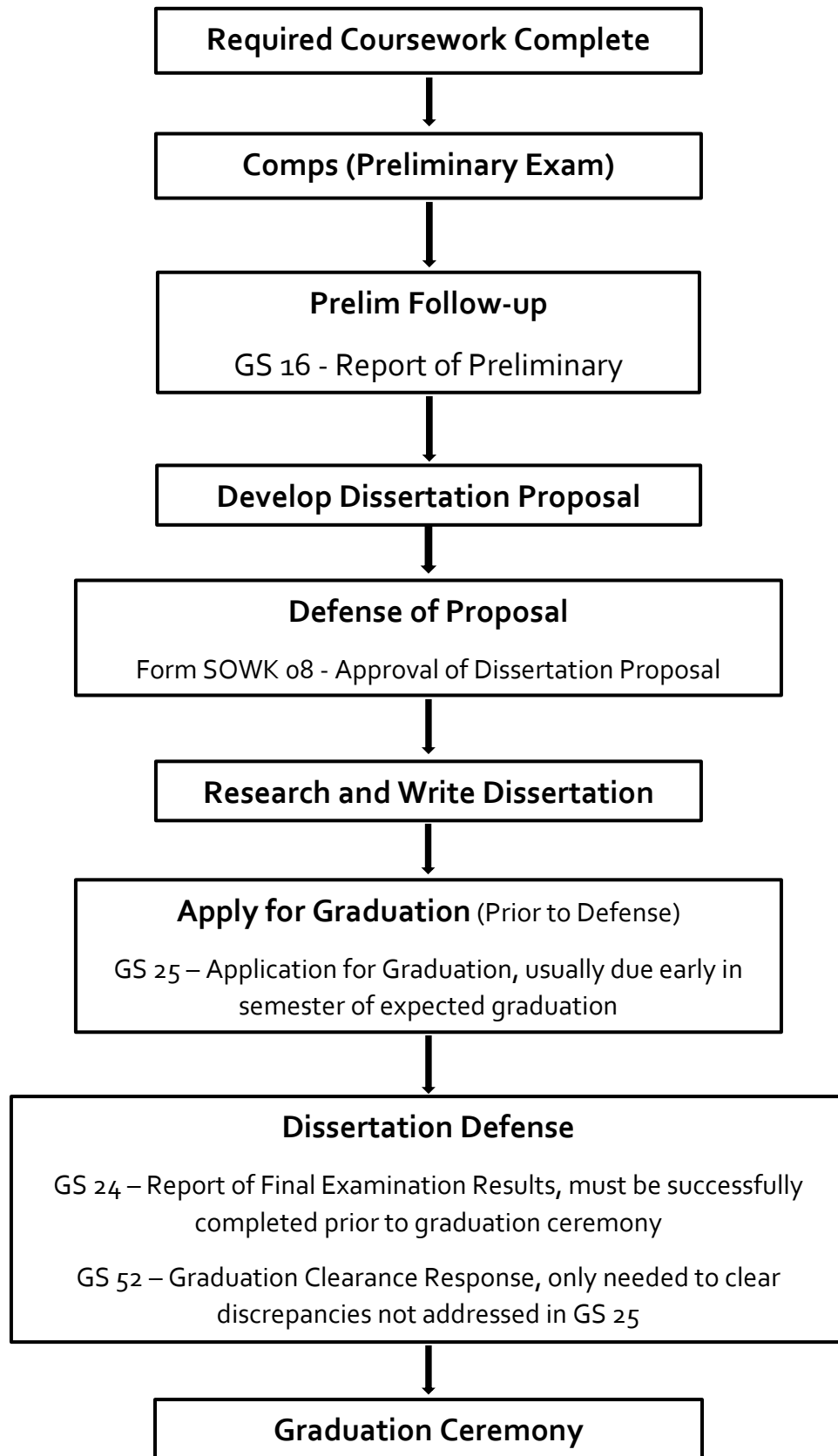
## Responsibility for Meeting Deadlines and Requirements

Although your advisor and others will be helpful to you in understanding the various requirements, deadlines, and standards leading to your graduation, the final responsibility for meeting them rests with you, the student. It is your personal responsibility to become informed about everything required of you to earn your PhD.





## Prelims, Dissertation and Defense Quick Guide





## Progress to the Doctorate Checklist

Earning the Doctor of Philosophy degree involves considerably more than the completion of credits through coursework. This outline is an assistive guide to the doctoral journey. Completion of all steps does not guarantee graduation or degree. Sufficient time should be allotted for all forms requiring signatures.

	Timing	Responsibility
<b>1. Admission</b>		
a. <u>Confirm Acceptance</u>		
b. Receive <i>Graduate School Notice of Admission</i> (via email).		
c. Respond by email with intent to accept or decline admission.	By deadline indicated	Student
<b>2. Enrollment and Registration</b>		
a. <u>Contact Program Director:</u> Discuss required coursework and overall program of study	Prior to Registration	Student, Program Director
b. <u>RAMWeb:</u> Retrieve, Renew, Confirm RAMWeb ID: See this website to set up your Net ID <a href="https://admissions.colostate.edu/apply/student-id-university-email/">https://admissions.colostate.edu/apply/student-id-university-email/</a>		Student
c. Register for classes, view additional account information, and Graduate School guidelines: ( <a href="http://ramweb.colostate.edu/">http://ramweb.colostate.edu/</a> )		
<b>3. Coursework</b>		
a. <u>Complete</u> the Program of Study Form (SOWK-01)	1 <sup>st</sup> semester	Student, Program Director
b. Continue your coursework as discussed previously with the program director		
<b>4. Committee and Program of Study</b>		
a. <u>Identify Committee</u>	Prior to registering for fourth semester courses	Student, Advisor
b. <u>Finalize Program of Study</u>		
c. Meet with advisor to discuss coursework and program of study		Student, Advisor
d. Complete and submit GS-6 to SSW and the Graduate School	Prior to registering for fourth semester courses	Student



5. Prelim Exams and Moving towards Candidate Status		
a.	Meet with Advisor to discuss order, content, and scheduling of exams	Student, Advisor
b.	Propose the preliminary exam to committee and determine exam expectations	Student, Committee
c.	<u>Complete</u> the Intent Form (SOWK-o6)	By May 15 <sup>th</sup> in second year (if a full-time student) Student, Advisor
d.	Complete the exam	Within 3 months Student
e.	Committee Members will read and evaluate exam using the grading rubric in Appendix A	Within 2 weeks of receiving completed exam Committee
f.	Written feedback provided to student; hold oral review of exam with committee; provide final grade	Within 2 weeks of receiving completed exam Student, Committee
g.	Discuss revision as needed	Student, Advisor
h.	Submit Graduate School Report of Preliminary Examinations for the Ph.D. Degree GS-16; if a revise & resubmit is given for the 1 <sup>st</sup> attempt, the GS-16 is not submitted until the 2 <sup>nd</sup> and final attempt is graded.	Within 2 working days of committee decision Committee
i.	If Committee passes – Student becomes a PhD Candidate	
6. Dissertation Proposal		
a.	Meet with advisor to discuss expectations and readiness	Student, Advisor
b.	Make any necessary changes to committee members using Form GS-9A	Student
c.	<u>Complete</u> the Dissertation Proposal Planning Form (SOWK-o7)	Student, Advisor
d.	Submit a copy of proposal to committee members and create a Power Point Presentation outlining proposal	2 weeks prior to meeting Student
e.	Meet with committee and propose dissertation research	Student, committee
f.	Complete Form SOWK-o8 and get signatures denoting approval from committee members; Submit to SSW	Student
7. Work on Dissertation		
a.	Meet with advisor and methodologist to develop a timeline for dissertation progress	Student, Advisor
b.	Submit the Application for New Human Subjects Research Review to the IRB, Advisor is PI (Student is the Co-PI)	Student



<b>8. Application for Graduation</b>		
Meet with Advisor to discuss graduation timeline		Student, Advisor
<b>9. Dissertation Defense</b>		
a. Meet with advisor to review dissertation and application for graduation (Form GS-25)		Student, Advisor, Program Director
b. Coordinate with committee a time to defend dissertation	2 semesters after submitting G-16 Form	Student, committee
c. Submit a copy of dissertation to committee members	2 weeks prior to presentation	student
d. Schedule room for Defense		Student, Advisor
e. Meet with committee to defend dissertation		Student, committee
f. Complete the Report of Final Examination Results Form GS24 and submit to Graduate School	Immediately following dissertation, submitted within 2 working days	Committee
g. If passed submit the GS24 within 2 working days of committee decision		Student
h. If failed note conditions that must be met, provide a copy SSW, and submit to Graduate School within 2 working days of committee decision		Student
i. Signing of dissertation defense signature papers	Immediately following defense	Student, committee
j. Make suggested changes to dissertation		Student
k. Provide an electronic copy of dissertation		student
<b>10. Graduation Requirements</b>		
Complete the following:		Student
<ul style="list-style-type: none"> <li>• Form GS30 - Thesis/Dissertation Submission</li> <li>• Human Subject Form for Closure to the IRB along with research documents</li> <li>• Submit electronic copy of dissertation to Graduate School and Library</li> <li>• Review Degree Audit</li> <li>• Attend Graduation Ceremonies</li> </ul>		



## Forms Checklist

Student Name \_\_\_\_\_ Student ID \_\_\_\_\_

Forms in bold face type are required.

Form Number	Form Title	Date submitted
<b>GS6</b>	<b>Program of Study</b>	
<b>SOWK-01</b>	<b>Program of Study</b>	
SOWK-02	Petition for Waiver of PhD Requirements	
SOWK-03	Application for Approval of Research Practicum	
SOWK-04	Enrollment for Supervised College Teaching	
SOWK-05	Application for Approval of Independent Study	
<b>SOWK-06</b>	<b>Intent to Complete Preliminary Exam</b>	
<b>GS16</b>	<b>Report of Preliminary Examination for the Ph.D. Degree</b>	
<b>SOWK-07</b>	<b>Dissertation Proposal Planning Form</b>	
<b>SOWK-08</b>	<b>Committee Approval of Dissertation Proposal</b>	
<b>GS24</b>	<b>Report of Final Examination Results</b>	
<b>GS25</b>	<b>Application for Graduation</b>	
GS25B	Discrepancy Clearance Response (to update the GS6)	
<b>GS30</b>	<b>Thesis/Dissertation Submission</b>	



## Financial Assistance

### Financial Services

Please refer to Colorado State University's Office of Financial Aid (<https://financialaid.colostate.edu/>) for information on tuition, scholarships, and loans.

### Graduate Student Employment

While there are no guaranteed funding packages, the School of Social Work will provide Graduate Assistant (GA) positions to selected PhD students as funding allows. A separate application process may be required. Each year positions are identified in the school and awarded on a competitive basis. Please check with the PhD program director before the start of the academic year to see if positions are available and what the application process might be.

Students may also be employed as GAs where they will independently teach a BSW or MSW course. Course assignments are determined by the School Director depending on course availability and coverage needs. Students interested in teaching should provide a current CV to the PhD program director that can be shared with the School Director. Please keep in mind that practice courses at the BSW and MSW levels are restricted by the Council on Social Work Education to be taught only by those with an MSW and at least 2 years of post-MSW professional practice experience.

All student employees will be required to undergo an annual performance review; this will be required for reappointment should the School of Social Work have resources to continue the GA. For GAs who hold research responsibilities, this annual performance review should be conducted at some point during the spring semester of the appointment and will include the GA supervisor's assessment of performance of key tasks; written feedback on performance, including noted areas of strength and areas needing improvement, will be provided to the GA. A copy of this feedback should be provided to the PhD program director. For GAs who hold teaching responsibilities, the annual performance review will be performed by the School Director at the conclusion of the course. GAs must provide the program director performing the review all feedback received by students in the course. Similarly, written feedback on performance, including noted areas of strength and areas needing improvement, will be provided to the GA. A copy of this feedback should be provided to the PhD program director.

### Mentoring For Graduate Research Assistants

The School of Social Work, on occasion as funding allows, can award research assistantships to doctoral students. To assist in building a productive mentoring relationship, a mentoring agreement form must be submitted to the PhD program director at the beginning of each academic year that outlines goals and expectations for both the mentee and mentor and is signed by both parties. This mentoring agreement is intended to support an effective mentor relationship between graduate research assistants and their faculty/research staff mentors. It should outline key goals/tasks and mutually agreed expectations for both parties. See Appendix C for the draft agreement.



## School of Social Work Academic and Professional Standards

Students must demonstrate consistent, satisfactory progress toward completion of their degrees across all semesters of academic coursework, the preliminary exam, and the dissertation in order to graduate from the program. The following describes expectations and responsibilities of students that directly pertain to successful completion of their degrees in addition to related policies and procedures.

### Scholastic Performance Standards

#### Maintain Good Academic Standing

PhD students must earn a B or better in all degree-required coursework and maintain a cumulative 3.0 grade point average (GPA). For courses graded with satisfactory/unsatisfactory, students must earn an S. Specifically:

- No course with a grade of a "C" or below will be credited toward the graduate degree.
- A grade of Unsatisfactory ("U") in a required course is grounds for review by the PhD program director and possible recommendation for dismissal from the School of Social Work.

Failure to maintain good academic standing results in being placed on academic probation. The probationary period extends for one semester beyond the one in which this status is acquired. During this probationary period, the student must register for traditionally graded courses that affect the grade point average. Students on probation are subject to dismissal by the academic department or the Dean of the Graduate School at the end of the probationary semester unless good academic standing has been regained. This requires adequate improvement in cumulative grade point averages (3.000) and/or satisfactory progress as determined by the student's academic advisor. Please see the Graduate and Professional Bulletin for additional details on Graduate School requirements and procedures for maintaining good academic standing.

#### Uphold Academic Integrity

Students are expected to uphold academic integrity as outlined by the University. Examples of academic misconduct include, but are not limited to, cheating, plagiarism, and falsification. Procedures for addressing academic misconduct are detailed in the [Graduate and Professional Bulletin](#).

### Professional Performance Standards

To demonstrate satisfactory progress toward completion of their degrees, students are expected to maintain good standing with the School of Social Work and the University and uphold high standards of professional behavior throughout their educational program and in context of all academic and professional settings encountered as social work students. Serious or sustained problems related to professional behavior may lead to a recommendation for dismissal from the program (see: Dismissal from the Program). It is vitally important, therefore, that students commit themselves to a process of developing high standards of professional behavior throughout all parts of the Social Work program.



The NASW Code of Ethics is the cornerstone of determining and guiding ethical behavior for social workers and students, and adherence to these ethical standards is a requirement and standard for the program. Evidence of a serious breach in research ethics or in the NASW Code of Ethics may prompt recommendation for immediate dismissal of a student from the program. Students are directed to review the NASW Code of Ethics and the webpage of the Office of the Vice President of Research that addresses Research and Scholarly Ethics.

Inability, unwillingness, or failure to meet generally accepted professional guidelines of conduct, integrity, or emotional stability may result in the initiation of Student Development and Accountability Procedures (see below). The following presents examples, but not a complete list, of behaviors that may constitute professional concerns in areas of functioning essential to the professional social worker:

## Acceptance of Responsibility

- Failure to adhere to basic principles of social work practice that includes abiding by the NASW Code of Ethics, maintaining confidentiality, and showing respect for clients and colleagues.
- Inability to perform adequately in a graduate research (GRA) or teaching (GTA) assistantship.
- Failure to take adequate steps to address or remedy personal problems, psychosocial distress, substance abuse, suicidality, or mental health impairment that interfere in their assistantship or the classroom learning environments even though appropriate ADA accommodations may have been provided.
- Impaired performance in the classroom or in their work as GRAs or GTAs. Behaviors include, but are not limited to, active substance use, inability to focus or communicate, distortion in thought processes, or otherwise unable to develop appropriate working relationships in the social work context.
- Unethical or criminal conduct that interferes with competent performance as a social work practitioner or may potentially compromise the safety of others or client services.
- Private conduct that interferes with the ability to fulfill student responsibilities or that represents dishonesty, fraud, deception, or misrepresentation.

## Commitment to Learning

- Failure to adhere to attendance standards within the PhD program. Inability to consistently be where you have committed to be. Failure to report on time. Consistent lateness in meeting work deadlines.
- Behavior in the classroom, which causes a disruption in the learning of other students.
- Behavior in GRA activities, which causes a disruption in the completion of work tasks or creates an untenable relationship with the GRA supervisor.
- Behavior in GTA activities, which causes a disruption in the learning of students in the course being taught.
- Lying, cheating, or any form of plagiarizing in coursework (see Graduate and Professional Bulletin)

## Communication Style: Written, Verbal and Non-verbal

- Inadequate written or verbal communication skills, which impede the ability to work effectively with faculty, peers, and supervisors.
- Use of disrespectful or derogatory language in written or verbal communication with or about fellow students, colleagues, supervisors, or instructors
- Inappropriate use of social networking or social media (including personal social media accounts)

## Interactions with Others

- Inability, unwillingness, or failure to respect human and cultural diversity.
- Acts or threats of physical violence or verbally abusive behavior toward fellow students, colleagues, supervisors, or Educators.





## Participation in the Supervisory Process

- The inability to accept constructive feedback and effectively utilize supervision from the PhD program director, classroom instructors, GRA/GTA supervisors, and/or an inability to make changes recommended by this feedback.
- Failure to adhere to university policies and professional standards.

## Time Management and Organization

- The inability or failure to engage in tasks associated with GRA/GTA requirements, as assigned by the supervisor.
- Persistent inability to meet deadline dates on assignments and projects, suggesting an inability to be dependable and responsible in the GRA/GTA role.

## Professional Performance: Student Development and Accountability Procedures

Every student in social work is a representative not only of the School of Social Work, but also of their chosen profession of social work. For this reason, faculty hold students accountable to professional performance standards in context of all settings and social interactions of relevance to their education and development as a social work scholar and educator. A proactive and preventive approach is used to help students develop and sustain high standards of ethical conduct and professional behavior. The goal of this approach is to produce the finest possible graduates who can advance the profession of social work as scholars and educators.

The School's approach to professional performance is a multi-staged process (see flow chart in Appendix D).

**STEP 1** for all students entering into the social work program is to set expectations early for ethical conduct and professional behavior. During program orientation, faculty and/or staff clearly communicates that students are required to learn about and commit themselves to upholding CSU's expectations for academic integrity and student conduct and CSU-School of Social Work's professional performance standards. Students are required to sign the Professional and Academic Standards Acknowledgement Form (Appendix E) indicating that they have read and agree to uphold their responsibilities in each of these areas upon program admission and be on record with the PhD program office.

**STEP 2** of the School's approach to addressing professional performance concerns is determined by the nature of the concern, which falls into two categories:

Low Level Concerns include, but are not limited to, violations of scholastic or professional performance standards explained above, in which there is:

- No evidence of harm or risk of harm to self or others, or university
- A specific identifiable problem area
- Demonstrated student awareness, initiative, and ability to resolve the issue
- Evidence that the impact is limited to the student directly involved in the issue

High Level Concerns include, but are not limited to, violations of scholastic or professional performance standards explained above, in which there is/are:

- Evidence of harm or risk of harm to self, others, or university
- Diffuse concerns which affect multiple aspects of the learning environment
- Concern regarding how the student's behavior negatively impacts the learning environments for others
- Concern because the student is already on remediation status for a low-level concern and they failed to successfully remediate in the Improvement Plan



## Identifying Concerns

The School of Social Work encourages faculty to informally assess the professional behavior of every student in their classes and directly address any emerging concerns with students in a timely fashion.

During each semester (typically after the semester's mid-point), instructors independently answer this screening question for any student(s) enrolled in their courses who they have professional behavior concerns about: What are your concerns about (Student) related to their acceptance of responsibility, commitment to learning, communication style, interactions with others, participation in the supervisory process, or time management and organization?

The Student Affairs and Admissions Committee reviews responses received from all instructors to determine if any students have been identified for concerns by more than one instructor. In these cases, the PhD program director is notified. The PhD program director is then responsible for directly talking with a student about whom more than one concern has been identified and helping that student understand and develop strategies to help address identified concerns. Concerns may be addressed informally among the PhD program director, faculty, and student, or may continue to Step 3 of the School's procedures (see below).

## Addressing Low Level Concerns

Low level concerns identified by faculty will first be addressed informally. Concerns related to professional behavior are often identified early in the student's program and are most effectively addressed by instructors as soon as they arise. If concerns related to professional behavior arise during a course, instructors are responsible for addressing them directly with the student in a confidential and timely manner.

If low level concerns persist after faculty has addressed them with the student, the PhD program director is notified. The PhD program director is then responsible for directly talking with a student about the concern and helping that student understand and develop strategies to help address identified concerns. The PhD program director may consult with faculty who identified concerns and meet with the faculty and student in a collaborative discussion aimed at problem solving and goal setting.

## Addressing High Level Concerns

High level concerns identified by faculty may proceed directly to Step 3 or may result in a recommendation for immediate dismissal from the program.

STEP 3 is intended to address persistent low level concerns, as well as high level concerns. When a professional performance concern progresses to Step 3, it means PhD program director and/or faculty see the need for more individualized goal setting and action.

### 3a. Assessment of Concern

The student, faculty member, and PhD program director systematically and comprehensively assess a student's professional performance, using the Professional Performance Assessment (see Appendix F). Based on the assessment, the faculty member and program director will determine if the student will be [a] placed on an Individualized Performance Improvement Plan (see Appendix G), [b] placed on Academic Probation, or [c] recommended for dismissal from the program. In consultation with faculty and program directors, the Director of the School of Social Work makes the final determination as to whether documented concerns are of sufficient severity to merit immediate placement of the student on Departmental Probation or recommendation for immediate dismissal. The process is as follows:

### 3b. Individualized Performance Improvement Plan

- The PhD program director meets with the student (and involves others as needed) to discuss and develop individualized goals and action plan using the Professional Performance Improvement Plan (Appendix G).



- As needed, the PhD program director may enlist other campus resources to help the student successfully meet the goals specified in their individualized improvement plan.
- A CSU Student Case Manager may be involved. When enlisted, the Student Case Manager helps the social work student identify needed campus resources; case manager handles all follow-up with the student. A referral to the Student Case Manager is documented by the PhD program director to the student and School of Social Work Director.
- When the student's needs exceed the support capacity of student case manager and School of Social Work, and the student poses a possible danger to self or others, the PhD program director in consultation with School of Social Work Director may enlist further assistance from the Division of Student Affairs.
- The PhD program director and concerned faculty monitor progress and changes in professional behavior per the improvement plan. The PhD program director documents progress monitoring and follow-up meetings. Immediate and positive changes are expected.

Consequences for failing to meet goals are also identified. A student may be placed on Departmental Probation given failure to meet agreed upon goals in the professional performance improvement plan.

### 3c. Academic Probation

Academic Probation may be initiated for high level violations of professional performance standards or when there is credible documented evidence from multiple sources of serious unresolved problems in a student's professional performance.

- The School of Social Work Director is required to provide written notification to a student when they are placed on Departmental Probation, including evidence supporting the need for probation and terms for being removed from it.
- A student on Departmental Probation is given one semester in which to demonstrate sustained success in addressing terms of the probation. Students who have made significant progress in addressing identified concerns in this period of time are removed from Departmental Probation with the expectation that they will sustain all gains made and no new issues pertaining to professional behavior arise.

### 3d. Dismissal from the Program

The School of Social Work Director may make a recommendation to the Graduate School that the student is dismissed from the program under three conditions:

- A high level concern has been identified that is serious enough to warrant a recommendation for immediate dismissal from the program.
- The student fails to adequately address professional behavior concerns within one semester after being placed on departmental probation.
- Progress related to professional behavior concerns is not sustained after the student has been removed from Departmental Probation and/or new serious, credible and documented issues pertaining to professional behavior have arisen.

The Graduate School makes all final determinations regarding dismissal of a PhD student from the program. The Graduate School may dismiss a student from the program for reasons of unsatisfactory progress toward completion of his or her degree based on these considerations:

- The student does not have a cumulative GPA of 3.0 or higher following one semester on academic probation;
- There is credible documented evidence that the student has engaged in serious academic misconduct;
- There is credible documented evidence of serious violations of the university's ethical principles and/or NASW's Code of Ethics; OR
- There is credible documented evidence of serious problems with professional behavior that have not been resolved despite documented interventions by CSU- School of Social Work faculty and/or fieldwork educator(s).



Students who are at risk for dismissal from the program for reasons of poor academic performance are notified in advance and in writing by the Graduate School. The Graduate School notifies students with cumulative GPAs of less than 3.0 based on 9 credits of coursework from the first fall semester that they are “not in good standing” and must raise their cumulative GPAs to a 3.0 or better the following semester to avoid academic probation. After a minimum of 12 credits of coursework has been completed, the Graduate School provides written notification to students with cumulative GPAs of less than 3.0 that they have been placed on academic probation and must raise their GPAs to a 3.0 or better the following semester to avoid dismissal. Students with significant unresolved professional behavior problems are notified of a possible recommendation to the Graduate School for dismissal from the program by the School of Social Work Director in the form of a written letter of warning.

## Graduate School Appeals Procedure

The Graduate School at CSU encourages informal resolution of appeals and grievances whenever possible. However, the policy explicitly states that graduate students may appeal decisions concerning unsatisfactory performance on graduate preliminary or final examinations, academic probation for reasons of unsatisfactory progress toward the degree other than insufficient grade point average, termination of or election to void an assistantship for reasons set forth in the terms and conditions applicable to graduate assistant appointments, or dismissal from the graduate program for academic reasons. For details, refer to the current on-line [Graduate and Professional Bulletin](#) published by the CSU Graduate School Office.

## Grievance Procedure for the School of Social Work

This section details procedures for students who have a concern that needs to be clarified or resolved. The concern may relate to academic matters such as a grade or other issues. If a student (or students) decides that the concern warrants action, the first step is to communicate the concern in person or in writing with the person (or persons) involved. This communication should occur within 10 working days of the incident/event. Because a power differential exists between students and faculty, the student may wish to have another person present if there is a face-to-face discussion.

If the informal communication with the faculty member(s) does not resolve the problem, the student may begin the formal grievance process by submitting a written statement to the chair of the School’s Student Affairs and Admissions Committee (SAAC). This written statement must outline the basis for the complaint and the student should attach any corresponding information needed for documentation. At a minimum, the documentation shall include:

1. The date and particulars of the incident/event in which the student feels aggrieved;
2. A summary of steps that have been taken to deal with the situation; and
3. The desired outcome(s) that is/are being sought.

The student(s) making the grievance shall deliver the written statement to the chair of the Student Affairs and Admissions Committee and the date of its receipt must be recorded on the document and initialed by both the student and committee chair. That date becomes the starting point for the formal grievance process. The chair of the Student Affairs and Admissions Committee will notify the faculty member of the formal grievance within no more than five working days of its receipt. The faculty member will have no more than five working days to prepare a written response to the grievance and submit that statement to the committee chair. The faculty member and student are advised to first work with CSU’s Student Resolution Center. The Student Affairs and Admissions Committee can facilitate this process.

If the Student Affairs and Admissions Committee does not find from the written materials that the issue has been resolved, in no more than ten working days after receiving the response from the faculty member, the committee will appoint a grievance hearing committee composed of three faculty members and two students to address the complaint. The hearing committee members are to be jointly selected by the Student Affairs and Admissions



Committee and the School's Director. Anyone directly involved in the grievance or who has previously reviewed the situation with the student or faculty member will be disqualified from serving on the hearing committee.

The hearing committee shall hold hearings on the complaint in no more than ten working days after its appointment. Either party may be accompanied to the hearing by a person of their choice who can support the student or faculty member's position. In order to maintain confidentiality in the process, and yet to insure a thorough review of the grievance, it is the hearing committee's responsibility to solicit input from persons named by each party. It is suggested, for the sake of clarity and due process, that the hearing committee utilize consultation from the Student Resolution Center during this process.

Within five days of the conclusion of the hearing, the hearing committee will provide each affected party, the chair of the Student Affairs and Admissions Committee, and the School Director with a written statement of its decision regarding the merits of the complaint.

Should either party disagree with the hearing committee's decision, they may appeal to the School Director within no more than five working days of date of the committee's report. The School Director will then review the case within no more than ten working days and provide a written decision regarding the merits of the complaint. The School Director may agree with or overturn the hearing committee's decision.

Should either party disagree with the School Director's decision, they may appeal to the Dean of the College of Health and Human Sciences within no more than five working days of date of the School Director's report. In that case, the Dean will review the matter within no more than ten working days and produce a written decision regarding the merits of the complaint. The Dean may agree with or overturn the decision.

Should either party disagree with the Dean's findings, they may appeal within no more than five working days by submitting all written documentation to the Provost/Academic Vice-President. The decision of the Provost/Academic Vice-President shall be final, in so far as the University's grievance process permits.

For more details regarding the formal rights and responsibility please see the [Graduate and Professional Bulletin](#).

## A Special Note about Academic Integrity

The foundation of a university is truth and knowledge, each of which relies in a fundamental manner upon academic integrity and is diminished significantly by academic misconduct. Academic integrity is conceptualized as doing and taking credit for one's own work. A pervasive attitude promoting academic integrity enhances the sense of community and adds value to the educational process. All within the University are affected by the cooperative commitment to academic integrity. Faculty/instructors shall work to enhance a culture of academic integrity at the University (see the *Colorado State University General Catalog* for the [academic integrity policy](#)).

Academic misconduct (see examples below) undermines the educational experiences at Colorado State University, lowers morale by engendering a skeptical attitude about the quality of education, and negatively affects the relationship between students and instructors.

Instructors are expected to use reasonably practical means of preventing and detecting academic misconduct. Any student found responsible for having engaged in academic misconduct will be subject to academic penalty and/or University disciplinary action.

Students are expected to share responsibility for the academic integrity of the University by reporting incidents of academic misconduct. Examples of academic misconduct include (but are not limited to):



- Cheating in the classroom - Cheating includes using unauthorized sources of information and providing or receiving unauthorized assistance on any form of academic work. Examples include copying the work of another student on an exam, problem set, or quiz; taking an exam or completing homework for another student; possessing unauthorized notes, study sheets, answer codes, programmed calculators, or other materials during an exam; and falsifying exams or other graded paper results.
- Plagiarism - Plagiarism includes the copying of language, structure, ideas, or thoughts of another, and representing them as one's own without proper acknowledgement. Examples include a submission of purchased research papers as one's own work; paraphrasing and/or quoting material without properly documenting the source. More information on plagiarism is available in the next section.
- Unauthorized possession or disposition of academic material - Unauthorized possession or disposition of academic materials includes the unauthorized selling or purchasing of examinations or other academic work; stealing another student's work; unauthorized entry to or use of material in a computer file; theft or mutilation of library materials; and using information from or possessing exams that an instructor did not authorize for release to students.
- Falsification - Falsification encompasses an untruth, either verbal or written, in one's academic work. Examples include receiving unauthorized assistance or working as a group on a take-home exam, independent exam or other academic work without authorization or lying to avoid taking an exam or turning in other academic work. Furthermore, falsification of any University document is a violation of academic integrity. Examples include student identification numbers, transcripts, grade sheets, credentials, University status, or letters of recommendation. Forging a signature is another specific example of falsification.
- Facilitation of cases of academic dishonesty - Facilitation of any act of academic dishonesty including cheating, plagiarism, and/or falsification of documents also constitutes violation of CSU's academic integrity. Examples include knowingly discussing specific content of a test or examination you have taken with another student who has not yet taken that test or examination or facilitating, by sharing one's own work, a student's efforts to cheat on an exam or other academic work.

A student's individual graduate advisory committee or an appropriate School graduate committee may recommend immediate dismissal or appropriate lesser penalty where the committee determines that the student has engaged in behavior that is in violation of the [NASW Code of Ethics](#) or academic dishonesty including but not limited to such acts as cheating, plagiarism, and falsification of data or documents. Such a recommendation must be documented in writing with substantive justification for the recommended action. It must be referred to the Director for approval and the Dean of the Graduate School for final action. The Dean shall secure the concurrence of the University Discipline Officer for any penalty imposed. The student may [appeal](#) such action through the existing Graduate School appeals procedure.

## Plagiarism

Plagiarism is defined as the use of any source, published or unpublished, without proper acknowledgment. The most important thing to know is this: if you fail to cite your sources, whether deliberately or not, it is still plagiarism. Ignorance of academic regulations or the excuse of sloppy or rushed work does not constitute an acceptable defense against the charge of plagiarism.

When in doubt, cite. It's always preferable to err on the side of caution and completeness.





1. Quotation. Any verbatim use of a source, no matter the size, must be in quotation and cited.
2. Paraphrase. Paraphrase is a restatement of another person's thoughts or ideas in your own words, using your own sentence structure. Paraphrasing correctly:
  - Do NOT simply rearrange words in a sentence.
  - Do NOT just substitute parts of a sentence with the thesaurus.
  - DO synthesize material and describe it in your own words.
  - DO summarize another's work and give credit to the author
3. Facts, Information, and Data. Any information found exclusively in a particular source, you must clearly acknowledge that source.
4. False Citation: when you cite a source you didn't read yourself.
5. Unauthorized submission of your OWN academic work for multiple classes is considered plagiarism. Occasionally, a student may receive permission to rewrite a piece from another class, or to satisfy two requirements by producing a single piece of work. However, the student MUST get prior written permission from each professor involved (see <https://odoc.princeton.edu/curriculum/academic-integrity> for further information).

For international students, it's especially important to review and understand the citation standards and expectations for institutions of higher learning in the United States.

- CSU's Academic Integrity is detailed in the General Catalog, Policies and Guiding Principles, 1.6 as well as the Graduate Bulletin, L5.1.
- APA Plagiarism and Self-Plagiarism (section 1.10) "Researchers do not claim the words and ideas of another as their own; they give credit where credit is due (APA Ethics Code Standard 8.11, Plagiarism). Quotation marks should be used to indicate the exact words of another. *Each time* you paraphrase another author (i.e., summarize a passage or rearrange the order of a sentence and change some of the words), you need to credit the source in the text." The American Psychological Association (APA) 2010, p. 16). The APA Manual also addresses the issue of self-plagiarism, which occurs when "researchers present their own previously published work as new scholarship" (p. 16). The essential idea in terms of avoiding self-plagiarism is that, "the core of the new document must constitute an original contribution to knowledge, and only the amount of previously published material necessary to understand the contribution should be included, primarily in the discussion of theory and methodology" (APA, 2010, p. 16). In general, words or ideas from previously published work must be cited.



## Student Association

The [Student Association of Social Workers](#) (SASW) is the student organization for the program on campus. The SASW is an organization that gives School of Social Work students a voting voice at the School Council, so they have input on and can advocate for what they believe is best for the school, and current and future students. In the video below, hear from students about SASW's purpose and learn how to get involved. Representatives from each academic program will be voted on by their student body. For questions about the SASW, please contact the faculty Advisor, [Paula Yuma](#).

### **Position Descriptions**

- Program Representatives: One student from each program (BSW, MSW, Distance MSW, and Ph.D.) will be elected by their peers to represent the student body in School Council and vote on their behalf.
- Communications Coordinator: Point person regarding updates and events, social media, and meeting minutes.
- President: Organizes and facilitates meetings and works with SASW to achieve goals.
- Financial Officer: Coordinates financial aspects of SASW.

## Resources

Dissertation Formatting Guide:

<https://graduateschool.colostate.edu/thesis-dissertation/>

Graduate School Forms Database:

<https://graduateschool.colostate.edu/forms/>

Dissertation Submission Site:

<http://lib.colostate.edu/etd>

Graduate School Timeline:

<https://graduateschool.colostate.edu/current-students/steps-to-your-phd-degree/>

Ramweb:

<https://ramweb.colostate.edu/>

Graduate School Bulletin:

<http://catalog.colostate.edu/general-catalog/graduate-bulletin/>

Faculty and Staff:

<https://www.chhs.colostate.edu/ssw/about-social-work/faculty-and-staff/>

Academic Calendar:

<https://calendar.colostate.edu/academic/>

Student Services and Resources:

<https://studentaffairs.colostate.edu/resources/current-students/>

Library:

<http://lib.colostate.edu/>





## Appendix A. Guide for the Preliminary Exam

### Guide for the Preliminary Exam

#### Purpose:

The purpose of the preliminary exam is to demonstrate competence in the core concepts and methods of social work scholarship, including equity and social justice considerations, as well as the capacity to conduct independent research consistent with the expectations for the dissertation. In this exam, committees (see below) assess the student's ability to describe and **critically appraise** the evidence in a substantive area of interest; identify and apply theory to this substantive area; clearly articulate gaps in the literature base; identify quantitative or qualitative methodological approaches to address key gaps in the literature; and describe the practice and policy implications for addressing these gaps. The outline below details each of these sections. The exam should be a double-spaced paper that does not exceed 50 pages (excluding references and any appendices).

The preliminary exam procedures include the following:

1. A written outline of no more than 10 double-spaced pages describing how the student will address each of the required sections of the preliminary exam
2. An oral review of the exam outline with the student's committee to review committee feedback on the proposal and establish consensus across the committee on what is expected for each section
3. A written preliminary exam not to exceed **50** double-spaced pages that demonstrates the student's understanding of their substantive area of interest by critically appraising the literature base and describing appropriate theoretical perspectives relevant to the problem under study, identifying critical gaps in the literature and research questions intended to address these gaps, noting methodological approaches to address the identified questions, and offering practice and policy implications for this proposed research
4. An oral review of the written preliminary exam with the student's committee to discuss feedback, respond to questions and concerns, and discuss next steps.

For full-time students, the preliminary exam will be proposed at the end of the second year of coursework by May 15<sup>th</sup>. The oral review of the exam proposal should occur also by May 15<sup>th</sup>. Students will then have 3 months to complete the exam to be submitted by August 15<sup>th</sup>. Only under special circumstances will extensions be granted. For part-time students, the exam will still be completed within 3 months; specific deadlines will be determined by the completion of all required coursework.

During the exam writing, students cannot consult with their committees unless it is to clarify an expectation set forth in the exam. In other words, students may not seek substantive input from their committees while they are writing the exam but may seek clarification on expectations. Students can request an outside reader to review the exam before submission to their committees for grading. This outside reader can provide feedback to the student on writing structure and flow, clarity of the ideas presented, and overall readability (e.g., grammar, writing quality). Requests for an outside reader should be made to the PhD program director. An outside reader must provide feedback within the 3-month completion requirement; therefore, adequate time must be built in for their review and for making any needed revisions before the 3-month timeline has expired.

The exam will be proposed to and graded by each student's graduate committee. This committee – which is comprised of the student's advisor or chair, two additional faculty members from the School of Social Work, and a faculty member



from an outside department – will review the exam proposal and come to consensus about exam expectations. Full-time students who receive an extension as well as part-time students should negotiate the exam timeline during this oral review based on the 3-month required completion.

This committee will also review the exam within two weeks of submission and provide written feedback noting questions, concerns, and areas of strength by September 1<sup>st</sup>. The oral review of the committee's feedback should occur within two weeks of when the student and their advisor receive written feedback from each committee member; this oral review should take place by September 15<sup>th</sup>. Please note these specific dates are relevant only for full-time students beginning their exam by May 15<sup>th</sup> at the end of their 2<sup>nd</sup> year. Full-time students who receive an extension and part-time students will likely be on another timeline to be determined at the exam outline review meeting.

A grade of pass or revise & resubmit will be given by the committee. If a revise & resubmit is given, students will have 3 months to complete the revision and resubmit it for the committee's review. At this time, a grade of pass or not pass will be given by the committee. Since only 1 retake is allowed, students who do not pass will be dismissed from the program.

## **Required sections of the Preliminary Exam**

- I. **Introduction and Background:** The student will describe a substantive topic of interest (i.e., a problem area that is relevant to social work). This section should define the problem, including its prevalence, the nature and history of the problem, and current trends. In this section, it is important to note the problem's relevance to social work as well as any biases, prejudices, and omissions, especially those relevant to marginalized populations.
  - a. **Statement of the problem**
  - b. **Relevance of the problem to social work and social justice**
- II. **Critical Appraisal of the Literature and Discussion of Theory:** In this section, the student will describe and critically analyze current and historical empirical evidence related to the problem area. This review should include a discussion of the primary methodological approaches used to examine the problem. Important empirical gaps in the knowledge base should then be identified. In addition, appropriate social theories (at least one) that provide a context for understanding the onset and/or persistence of the identified problem should be identified and critically reviewed. A discussion of how the selected theories (or theory) have been applied to the problem area should be included with attention given to how the selected theories (or theory) could inform prevention and/or intervention in this area. Important theoretical gaps should also be discussed. This section should conclude with the identification of two or more research questions that will address the identified gaps in this literature base and that can advance knowledge in this problem area. Appropriate methodological approaches to address each question must also be included.
  - a. **Description and critical appraisal of the current literature**
    - i. **What is the current evidence on this problem?**
    - ii. **What does this evidence add to the understanding of the problem?**
    - iii. **What is the quality of this evidence?**
    - iv. **How does this evidence contribute to social justice or fall short?**



**b. Application of theory to the problem**

- i. What are the most relevant theories that explain the problem?
- ii. How have these theories been applied in the current literature?
- iii. How do these theories consider, ignore, or uphold social justice?

**c. Identification and Discussion of Gaps**

- i. What are the empirical gaps in the literature?
- ii. What are the theoretical gaps in the literature?
- iii. What are the social justice gaps in the literature?

**d. Proposed Research Questions**

- i. What methodological approach can be used to address each research question?
- ii. What are the relevant design considerations for each research question? Briefly discuss design, sampling, data collection, and data analysis considerations for each research question and identified methodological approach. Also, briefly articulate the social justice implications for the proposed methods as well as briefly note any anticipated limitations to the study design.

**III. Conclusions and Implications:** In this section, the student will describe the practice and policy implications for addressing these gaps and for the proposed research.



## Grading Rubric:

A grade of pass or revise & resubmit (R&R) will be issued for the preliminary exam. If an R&R is given, students will have 3 months to revise their exam and resubmit it to their committee. At this time, a grade of pass or not pass will be issued. Since only 1 retake is allowed, students who do not pass will be dismissed from the program.

Required Elements	Excellent	Good	Poor/Unacceptable
<b>1. Introduction of Scholarly Area of Interest and Statement of the problem</b> <ul style="list-style-type: none"><li>▪ Topic area description</li><li>▪ Statement of the problem</li><li>▪ Description of the relevance to social work and social justice</li></ul>	<ul style="list-style-type: none"><li>▪ Clearly describes the problem and its relevance to social work</li><li>▪ Effectively describes the problem's relevance to social justice</li><li>▪ Effectively uses empirical evidence</li></ul>	<ul style="list-style-type: none"><li>▪ Describes the problem and its relevance but lacks sufficient detail to demonstrate an in-depth understanding</li><li>▪ Describes the problem's relevance to social justice</li><li>▪ Cites empirical evidence but does not integrate it</li></ul>	<ul style="list-style-type: none"><li>▪ Does not describe the problem or its relevance adequately</li><li>▪ Does not effectively describe the problem's relevance to social justice</li><li>▪ Does not use or integrate empirical evidence adequately</li></ul>



<b>2. Critical Appraisal of the Literature and Discussion of Theory</b> <ul style="list-style-type: none"><li>• Summary and critique of current evidence, including its epistemological frameworks &amp; trends shaping the knowledge base</li><li>• Summary of current gaps in the evidence base</li><li>• Summary of potential research questions that address gaps</li><li>• Identification of relevant research questions to address the literature, theoretical, and/or social justice gaps</li></ul>	<ul style="list-style-type: none"><li>▪ Demonstrates in-depth understanding &amp; critical analysis of the current evidence base</li><li>▪ Clearly identifies the social justice contributions of the evidence base and/or where it falls short</li><li>▪ Clearly articulates theoretical perspectives relevant for understanding the problem and how these theoretical perspectives consider, ignore, and uphold social justice</li><li>▪ Clearly describes the current literature, theoretical, and social justice gaps</li></ul>	<ul style="list-style-type: none"><li>▪ Demonstrates beginning understanding and critique of the current evidence base</li><li>▪ Identifies the social justice contributions of the evidence base and/or where it falls short</li><li>▪ Acknowledges theory but does not clearly apply it to understanding the problem or adequately consider how these theoretical perspectives consider, ignore, or uphold social justice</li><li>▪ Describes the current literature, theoretical, and social justice gaps in basic terms rather than in-depth</li></ul>	<ul style="list-style-type: none"><li>▪ Does not demonstrate understanding or critique of the current evidence base</li><li>▪ Does not identify the social justice contributions of the evidence base and/or where it falls short</li><li>▪ Does not adequately apply or describe theoretical perspectives relevant for understanding the problem and/or how these theoretical perspectives consider, ignore, or uphold social justice</li><li>▪ Does not describe all aspects of the current literature, theoretical, and social justice gaps</li></ul>
Required Elements	Excellent	Good	Poor/Unacceptable



	<ul style="list-style-type: none"><li>▪ Demonstrates in-depth understanding of these gaps Thoroughly describes potential research questions and how each one addresses the identified gaps Clearly articulates an appropriate design Clearly articulates the social justice implications for the proposed methods</li></ul>	<ul style="list-style-type: none"><li>▪ Demonstrates some understanding of these gaps Cites empirical evidence but does not integrate it Describes potential research questions and how they address gaps</li><li>▪ Shows some ability to develop qualitative, quantitative, or mixed methods design to address the identified gaps Articulates some social justice implications for the proposed methods</li></ul>	<ul style="list-style-type: none"><li>▪ Does not demonstrate an understanding of these gaps</li><li>▪ Does not use or integrate empirical evidence adequately Does not describe or include appropriate research questions Does not demonstrate the ability to develop qualitative, quantitative, or mixed methods design to address the identified gaps</li><li>▪ Does not articulate social justice implications for the proposed methods</li></ul>
<b>3. Conclusions and Implications</b> <ul style="list-style-type: none"><li>▪ Discussion of study limitations and potential contributions</li></ul>	<ul style="list-style-type: none"><li>▪ Clearly articulates study limitations and potential contributions</li></ul>	<ul style="list-style-type: none"><li>▪ Describes some limitations and potential contributions</li></ul>	<ul style="list-style-type: none"><li>▪ Does not adequately describe limitations and/or potential contributions</li></ul>
<b>4. Organization &amp; Writing</b>	<ul style="list-style-type: none"><li>• Organizes information into meaningful topic areas There is a natural progression from one topic to the next Makes few grammatical errors</li><li>• Consistently and correctly uses APA citations, references and formatting</li></ul>	<ul style="list-style-type: none"><li>• Organizes information into meaningful topic areas</li><li>• Makes some grammatical errors</li><li>• Uses APA citations, references &amp; formatting for most items with some errors</li></ul>	<ul style="list-style-type: none"><li>• Information not well organized into topical areas</li><li>• Numerous grammatical &amp; spelling errors</li><li>• Uses APA citations, references &amp; /or formatting incorrectly and/or sporadically</li></ul>



## Appendix B. Guidelines for the Multiple Article Option (MAO) Dissertation

### Guidelines for the Multiple Article Option (MAO) for the Dissertation

Students in the Ph.D. program may choose an alternative approach to the dissertation known as the Multiple Article Option (MAO). The MAO allows students to complete the dissertation requirement by writing, under the supervision of their major professor and dissertation committee, a minimum of three articles designed for publication in peer-reviewed journals. The goal is to help students to: 1) learn the process of writing for publication; 2) become familiar with the form and content of journal articles; 3) establish a publishing record; 4) contribute to the professional knowledge base; and 5) prepare for entry into the academic job market.

Students interested in pursuing the MAO should consult with their dissertation chairs regarding the feasibility and suitability of this option. All MAO dissertations require prior approval of the dissertation committee and Ph.D. Program Director. When choosing a committee, a student should consider faculty members who have strong journal publishing records.

#### Requirements

1. Students who choose the MAO format must complete, to the satisfaction of their committee, at least three manuscripts suitable for submission for publication as journal articles.
2. The manuscripts should form a cohesive body of work that supports a theme or themes that are identified clearly in the dissertation proposal.
3. At least two of the three manuscripts must be data-based research reports. The third may be in the form of a position paper, review of the literature, historical review, or other such work, as approved by the dissertation committee.
4. A certain amount of overlap between the articles is acceptable. For example, portions of the literature review may need to be cited in the various articles because it delineates the entire historical background of the study's focus. Redundancy can be carefully reduced by citing one's own work. However, self-plagiarism - reusing one's own previously written work or data in a 'new' written product without letting the reader know that this material has appeared elsewhere - is prohibited.
5. An article previously published by the student may, with the approval of the student's dissertation committee and the Ph.D. Program Director, be counted as one of the three articles required by MAO guidelines. The article must represent work undertaken while the student is enrolled in the Ph.D. program and must be approved at the time of the student's dissertation proposal defense. No more than one such article may be counted.
6. Articles may have been published before the defense. However, if this is the case, students must secure all copyright permissions before finalizing the proposal and formatting the dissertation. The student should make sure that this entire process is compliant with university's [dissertation format guidelines and copyright requirements](#).
7. Articles should be submitted to journals following the style requirements of those particular publications, but for the MAO-format dissertation the articles must follow [University guidelines](#) with respect to formatting and presentation.



8. To fulfill MAO requirements, each article manuscript must be formally submitted (but does not have to be accepted at the time of the dissertation defense) to a journal approved by the dissertation committee. The committee will assist the student in selecting journals that will challenge the student while also offering a reasonable chance of publication success. Appropriate journals include high-impact peer reviewed journals in the field of social work or in an allied discipline.
9. All article manuscripts must be submitted prior to the dissertation defense unless otherwise approved by the dissertation committee and the Ph.D. Program Director.
10. If an article is rejected by a journal during the dissertation process, the student may submit to another journal approved by the dissertation committee. In the case of a revise and resubmit during the dissertation process, any changes to the article must be approved by the dissertation committee. Co-authorship will not be changed for a revise and resubmit.
11. If an article is rejected by a journal after the successful completion and defense of the dissertation, co-authorship decisions that were made during the dissertation process will no longer be in effect. Submission to a new journal will be at the sole discretion of the PhD graduate. Also after the successful dissertation defense, any new submission or resubmission, including changes in the authorship or article content, will be at the discretion of the PhD graduate.

## **Authorship**

1. Students must be listed as first author on all article manuscripts submitted for publication and intended to count toward MAO requirements. No other students can be co-authors on any of the articles. Co-authors must be identified at the student's proposal defense. The article and the role of the co-authors must be presented and approved by all members of the dissertation committee. Any changes in co-authorship must be approved by the student's committee.
2. Co-authorship must follow authorship guidelines as outlined in the Ph.D. Handbook.
3. To avoid conflicts of interest, any co-authors who are members of the student's dissertation committee must recuse themselves from judging articles carrying their name. In these cases, two additional faculty members chosen by the Ph.D. Program Director will, prior to the defense and in concert with those committee members who are not co-authors, determine the suitability of the article(s) in question.

## ***General Authorship and Collaborative Research Guidelines***

As part of their doctoral preparation, all Ph.D. students should engage in research and scholarship in collaboration with their peers and/or faculty. This process should be based on the principles of mutual respect, critical inquiry, and collaboration. The following guidelines apply:

1. Early in their work with students, faculty members have a responsibility to discuss and agree upon each contributor's responsibilities and authorship expectations, including order of authorship. Faculty have a special responsibility to help students contribute as much as they are able.
2. As soon as possible in any research or writing collaboration those involved should come to an agreement regarding data ownership.
3. All contributors making a substantial contribution to articles should be listed as authors.
4. Order of authorship generally should reflect extent of contribution, except that the level of contribution required for students to be listed as authors may be less than that required of





faculty. When individuals' contributions are approximately equal, preference in order of authorship should be given to students.

5. Faculty have the responsibility to assure that students' dissertations represent original, independent work. Articles that students prepare based on their dissertation findings would be expected to list the student as first or sole author.

## Organization

Dissertations completed in the MAO format must include an abstract that synthesizes the articles, an introduction (Chapter 1), and a conclusion (Chapter 5).

The introduction (Chapter 1) should include:

1. A definition or statement of the problem.
2. The importance of the problem, i.e., why it is worth researching, why it matters to the field of social work.
3. The theoretical foundation(s) supporting the problem/issue.
4. An overview of the important literature (overview, because each article submitted for the MAO will have its own unique literature review).
5. The research questions.
6. The methodology to be used to answer those questions.

Chapters 2-4 present each article separately, organized as the introduction, methods, results, discussion, and implications for the field of study.

The conclusion (Chapter 5) should summarize the dissertation's major findings and discuss their implications for the field of study as well as for social work practice and social policy. It should also help readers see clearly the linkages (i.e., similarities and differences) between the separate manuscripts that are included in the dissertation, as part of a larger effort to present the dissertation as a coherent body of work.

## Formatting

The dissertation will be formatted and bound consistent with [University guidelines](#).

## Proposal and Defense Procedures

1. Dissertations prepared using the MAO format will be subject to proposal and dissertation defense procedures as specified by program policy.
2. The dissertation proposal must include:
  - a. The introductory chapter as outlined above (Chapter 1).
  - b. Copies of any completed articles, whether published or not (if applicable).
  - c. An outline of any articles in progress, including major research question(s) addressed, methods, and any preliminary results if available.
  - d. A list of proposed journals.
  - e. A timeline for completion of the work.
  - f. IRB approval and research procedures, if required.
3. For the dissertation defense, students will present a final document that includes all the elements required by the University Graduate School for a traditional dissertation (e.g., abstract, table of contents, appendices); their introductory chapter; any previously published article(s); article(s) submitted for publication; and a concluding chapter as outlined above.



***Incorporation of Previously Published, Accepted, and Submitted Articles as Chapters of a Dissertation***

1. The dissertation (final product) looks like any other dissertation. In other words, it has the same component parts and the same format as any other dissertation.
2. Each previously published reprint and accepted or submitted article (or chapter as an article prepared for publication) is treated as a separate chapter.
3. The dissertation must have a general abstract that covers all components. A general introduction and general conclusion are recommended.
4. If a dissertation incorporating previously published articles as chapters is selected, references should be placed at the end of each chapter not at the end of the manuscript. Each set of references may follow a different style guide, depending on the journal in which the chapter is published or will be published.
5. Reprints are acceptable. However, some departments require that previously published articles be reformatted to match all other chapters.
6. The reprints are accepted as they are except they must be single-sided copy only, must fit within the thesis margins, and must be numbered consecutively with the rest of the text. All other chapters (whether accepted, submitted, or in preparation) must fit campus guidelines, as specified in the Handbook (margins, subheads, figure and table placement, etc.).
7. In the List of Figures and List of Tables, figures and tables from reprints are treated as if they are numbered with respect to the rest of the text. A local, decimal numbering scheme must be used. For example, in the List of Figures, the first figure in Chapter 5, which is a reprint, is listed as 5.1.
8. The requirement that all print be at least 2 mm does not apply to reprints.
9. Copyright issues frequently arise with previously published material. Students must obtain permission to duplicate copyrighted material (and, possibly, multiple author releases).
10. As for any other thesis or dissertation, students are urged to submit their manuscripts prior to the defense for a preliminary review.

**\*\* Note: This policy was adapted from the University of Utah, University of Texas at Austin, and the University of Wisconsin – Milwaukee, Social Work PhD Programs' policies**



## Appendix C. Dissertation Proposal Planning Form

### Dissertation Proposal Planning Form

#### FROM PRELIMINARY EXAM TO DISSERTATION PROPOSAL DEFENSE TASKS AND TIMELINE

After successful completion of the Preliminary Exam, the student and advisor are required to complete this form and submit it to the PhD Program Office within one month of completion of the Exam.

Although some flexibility is needed regarding individual circumstances and expectations, this form assumes that the dissertation proposal will essentially be the first 3 chapters of the dissertation (not to exceed 50 pages):

1. Introduction (Statement of the topic/problem to be studied)
2. Literature review
3. Research methodology.

If selecting the Multiple Article Option (MAO), the proposal will include the following (see the MAO policy on pages 48-51):

1. The introductory chapter as outlined in the MAO policy.
2. Copies of any completed articles, whether published or not (if applicable).
3. An outline of any articles in progress, including major research question(s) addressed, methods, and any preliminary results if available.
4. A list of proposed journals.
5. A timeline for completion of the work.
6. IRB approval and research procedures, if required.

**Student Name:** \_\_\_\_\_

**Target date for dissertation proposal defense** (usually 3 months after completion of the Preliminary Exam):  
\_\_\_\_\_

#### **Tasks and target dates for completion:**

**What are the Research Questions?** Ideally this will stem from the research questions identified in the Preliminary Exam.

Date to complete: \_\_\_\_\_

With the Research Questions in mind, **what parts of the Preliminary Exam remain relevant and what additional literature needs to be reviewed and summarized?**



Date to complete new literature review: \_\_\_\_\_

With the Research Questions in mind, what methodological literature needs to be reviewed?

Date to complete this literature review: \_\_\_\_\_

What is the specific methodology for the study? (sample, data collection, measurement, data Analysis; outline each paper separately if selecting the MAO dissertation).

Date to complete methodology: \_\_\_\_\_

Timeline for Drafts of Proposal:

Date draft to chair: \_\_\_\_\_

Date first draft to full committee: \_\_\_\_\_

Date final draft to full committee: (2 weeks prior to proposal defense)

\_\_\_\_\_

\_\_\_\_\_  
Student Signature

\_\_\_\_\_  
Dissertation Chair Signature

DATE submitted to PhD Program Office (within one month of Exam completion)

\_\_\_\_\_



## Appendix D. Mentor Agreement

### Mentor Agreement

This agreement is to support an effective mentor relationship between graduate research assistants and their faculty/research staff mentors. Please complete the following and submit a signed copy to the PhD program office before the start of the fall semester.

**Academic Year Goals:** (Please specify learning goals for the student and work productivity goals for the mentor)

***Student Goals:***

- 1.
- 2.
- 3.

***Mentor Goals:***

- 1.
- 2.
- 3.

**Commitments of Graduate Students:** (Please add/edit as needed)

- I acknowledge that I have the primary responsibility for the successful completion of my degree. I will be committed to my graduate education and will demonstrate this by my efforts in the classroom and in research settings. I will maintain a high level of professionalism, self-motivation, engagement, curiosity, and ethical standards.
- I will meet regularly with my research advisor and provide him/her with updates on the progress and results of my activities and experiments.
- I will work with my research advisor to develop a thesis/dissertation project. This will include establishing a timeline for each phase of my work. I will strive to meet the established deadlines.
- I will work with my research advisor to select a thesis/dissertation committee. I will commit to meeting with this committee at least annually (or more frequently, according to program guidelines). I will be responsive to the advice of and constructive criticism from my committee.
- I will be knowledgeable of the policies and requirements of my graduate program, graduate school, and institution. I will commit to meeting these requirements, including teaching responsibilities.
- I will attend and participate in relevant group meetings and seminars that are part of my educational program.
- I will comply with all institutional policies, including academic program milestones. I will comply with both the letter and spirit of all institutional research policies (e.g., safe laboratory practices and policies regarding animal-use and human-research) at my institution.



- I will participate in my institution's Responsible Conduct of Research Training Program and practice those guidelines in conducting my thesis/dissertation research.
- I will be a good research citizen. I will agree to take part in relevant shared research group responsibilities and will use research resources carefully and frugally. I will be attentive to issues of safety and courtesy, and will be respectful of, tolerant of, and work collegially with all research personnel.
- For use in relevant fields: I will maintain a detailed, organized, and accurate records of my research, as directed by my advisor. I am aware that my original notes and all tangible research data are the property of my institution but that I am able to take a copy of my notebooks with me after I complete my thesis/dissertation.
- I will discuss policies on work hours, sick leave and vacation with my research advisor. I will consult with my advisor and notify any fellow research group members in advance of any planned absences.
- I will discuss policies on authorship and attendance at professional meetings with my research advisor. I will work with my advisor to submit all relevant research results that are ready for publication in a timely manner.
- I acknowledge that it is primarily my responsibility to develop my career following the completion of my doctoral degree. I will seek guidance from my research advisor, career counseling services, thesis/dissertation committee, other mentors, and any other resources available for advice on career plans.

## **Commitments of Research Advisors:** (Please add/edit as needed)

- I will be committed to mentoring the graduate student. I will be committed to the education and training of the graduate student as a future member of the scholarly community.
- I will be committed to the research project of the graduate student. I will help to plan and direct the graduate student's project, set reasonable and attainable goals, and establish a timeline for completion of the project. I recognize the possibility of conflicts between the interests of my own larger research program and the particular research goals of the graduate student, and will not let my larger goals interfere with the student's pursuit of their thesis/ dissertation research.
- I will be committed to meeting with the student on a regular basis.
- I will be committed to providing resources for the graduate student as appropriate or according to my institution's guidelines, in order for him/her to conduct thesis/dissertation research.
- I will be knowledgeable of, and guide the graduate student through, the requirements and deadlines of their graduate program as well as those of the institution, including teaching requirements and human resources guidelines.
- I will help the graduate student select a thesis/dissertation committee. I will help assure that this committee meets at least annually (or more frequently, according to program guidelines) to review the graduate student's progress.
- I will lead by example and facilitate the training of the graduate student in complementary skills needed to be a successful researcher; these may include oral and written communication skills, grant writing, lab management, animal and human research policies, the ethical conduct of research, and scientific professionalism. I will encourage the student to seek additional opportunities in career development training.



- I will expect the graduate student to share common research responsibilities in my research group and to utilize resources carefully and frugally.
- I will discuss authorship policies regarding papers with the graduate student. I will acknowledge the graduate student's contributions to projects beyond his or her own, and I will work with the graduate student to publish their work in a timely manner.
- I will discuss intellectual policy issues with the student with regard to disclosure, patent rights and publishing research discoveries, when they are appropriate.
- I will encourage the graduate student to attend professional meetings and make an effort to help him/her secure funding for such activities.
- I will provide career advice and assist in finding a position for the graduate student following their graduation. I will provide honest letters of recommendation for their next phase of professional development. I will also be accessible to give advice and feedback on career goals.
- I will try to provide for every graduate student under my supervision an environment that is intellectually stimulating, emotionally supportive, safe, and free of harassment.
- Throughout the graduate student's time in graduate school, I will be supportive, equitable, accessible, encouraging, and respectful. I will foster the graduate student's professional confidence and encourage critical thinking, skepticism and creativity.

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Student Name

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Mentor Name

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Student Signature

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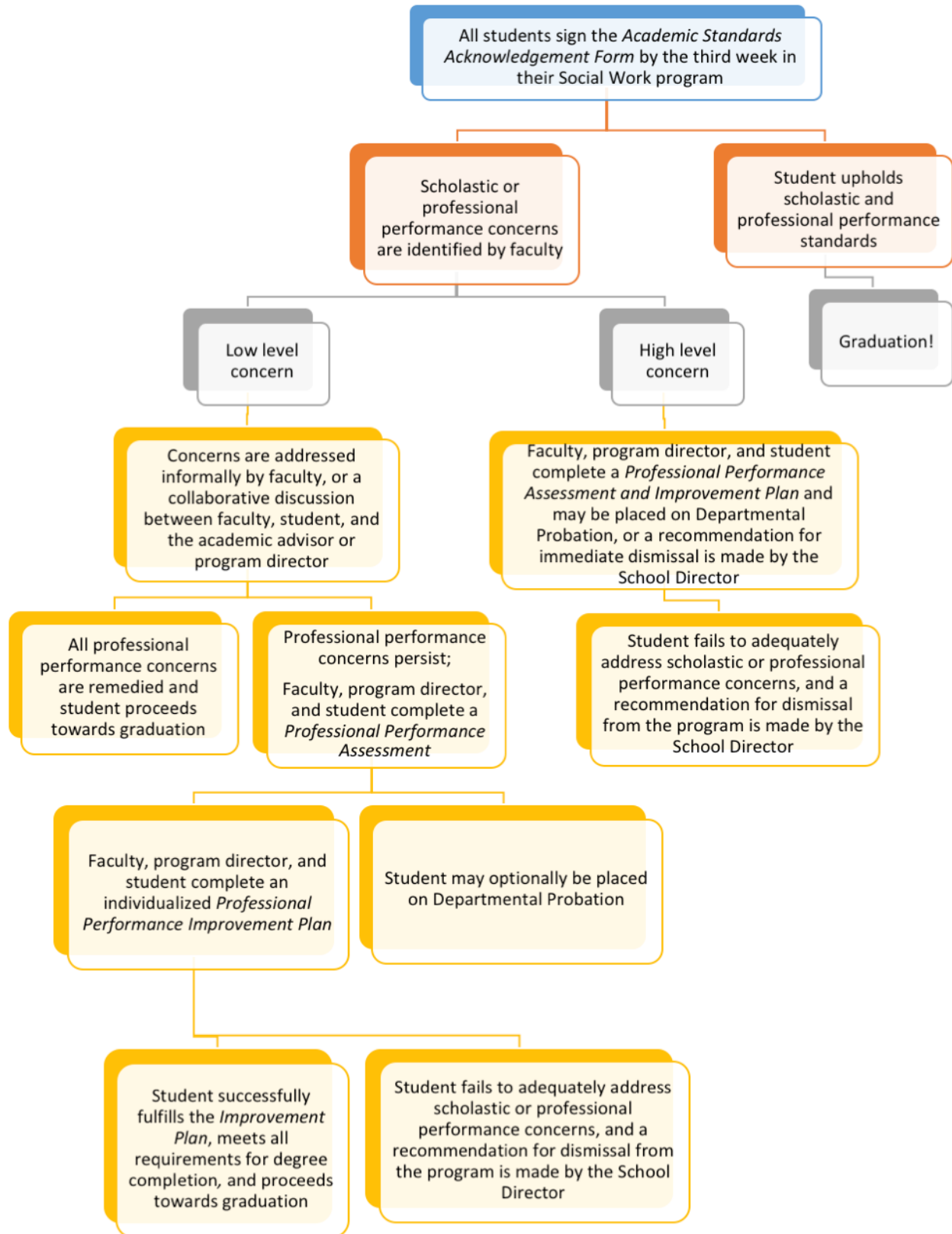
Mentor Signature

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Date



## Appendix E. Procedures for Student Development and Accountability







## Appendix F. Academic Standards Acknowledgement Form

Step 1 in Student Development and Accountability Procedures

**This will be included in your student file. Please retain a copy for your own records.**

By signing on the line below, I understand that:

- The curriculum in Social Work at Colorado State University advances my knowledge and understanding of an established profession with a set of core values, principles, and ethical requirements that I agree to uphold.
- Courses in the curriculum include activities and learning experiences that are designed to promote growth of my interpersonal skills, ethical conduct and professional behavior, all of which are critical to my success as social work scholar and educator.
- Along with my faculty, I am responsible for regularly reflecting on and evaluating my ethical and professional behavior to help me meet the standards of the profession.
- I am responsible for working toward positive personal and professional growth for myself and others.

By signing on the line below, I further verify that:

- I understand and agree to uphold expectations, policies and guidelines in the Social Work Student Handbook, including those pertaining to (a) academic integrity at Colorado State and in the School of Social Work; (b) the NASW's code of ethics; (c) professional behavior; and (d) fieldwork.
- I understand that although I am admitted to the School of Social Work, if my professional or ethical behavioral development is not deemed satisfactory by the social work faculty and/or field instructors, the School has the right and responsibility to request reassessment of my suitability for the social work program.

---

Name (Printed and Signed)

Date



## Appendix G. Professional Performance Assessment

### Step 3 in Student Development & Accountability Procedures

The following process outline is provided as a guide to faculty members and the student for documenting assessments. It is to be maintained by the program director with copies to the student and a copy for the student's confidential file.

	No concern					Significant Concern			
Acceptance of responsibility	1	2	3	4	5	6	7	8	9

*Example:*

Commitment to learning	1	2	3	4	5	6	7	8	9
------------------------	---	---	---	---	---	---	---	---	---

*Example:*

Communication style	1	2	3	4	5	6	7	8	9
---------------------	---	---	---	---	---	---	---	---	---

*Example:*

Interaction with others	1	2	3	4	5	6	7	8	9
-------------------------	---	---	---	---	---	---	---	---	---

*Example*

Participation in the supervisory process	1	2	3	4	5	6	7	8	9
--	---	---	---	---	---	---	---	---	---

*Example:*

Time management and organization	1	2	3	4	5	6	7	8	9
----------------------------------	---	---	---	---	---	---	---	---	---

*Example:*

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## PROFESSIONAL PERFORMANCE ASSESSMENT

During meetings with the appropriate faculty members, program directors and the student, please address the following:

1. What areas are current strengths?
2. What is of most concern? Identify the following areas of concern, per the School's Academic Standards, and elaborate as appropriate:
3. Do the identified areas of concern warrant an individualized professional performance improvement plan? If yes, proceed to the Professional Performance Improvement Plan.

---

Signature \_\_\_\_\_ Date \_\_\_\_\_

---

Signature \_\_\_\_\_ Date \_\_\_\_\_

---

Signature \_\_\_\_\_ Date \_\_\_\_\_



## Appendix H. Professional Performance Improvement Plan

### Step 3 in Student Development & Accountability Procedures

The following process outline is provided as a guide to faculty members and the student for documenting the improvement plan and outcomes. It is to be maintained by the program director with copies to the student and a copy for the student's confidential file.

---

#### PROFESSIONAL PERFORMANCE IMPROVEMENT PLAN

1. Based on identified areas of concern in the Professional Performance Assessment, what outcomes need to be achieved?
  - a. What are the targeted student behaviors (observable, positive, sustained) that will be observed/ documented by faculty members?
  - b. What other evidence indicators will be present that can document sustained change and improvement (e.g., academic performance, GRA responsibilities, GTA responsibilities)?
2. What steps are needed to achieve targeted outcomes?
  - a. The social work student will.... The social work faculty (identify) will...
3. What is our timeline?
  - a. For progress towards stated outcomes (specific dates)? For review of evidence indicators that document sustained change and improvement (specific dates)?
4. What are the consequences for failing to achieve or make adequate progress towards outcomes by the specified dates?

Add dated signatures from all team members (student, program director, other faculty members, fieldwork instructors)

---

Signature \_\_\_\_\_ Date \_\_\_\_\_

---

Signature \_\_\_\_\_ Date \_\_\_\_\_

---

Signature \_\_\_\_\_ Date \_\_\_\_\_

---



Re-evaluation:

At the end of the established timeline, the social work student has...

- ☐ Not improved
- ☐ Partially improved
- ☐ Fully addressed all concerns

Recommended Next Steps:

- ☐ Success!- no further action needed.
- ☐ Continue current professional performance improvement plan and extend timeline
- ☐ Revise plan (triggers implementation of Departmental Probation which must be resolved within one semester or student will face dismissal).
- ☐ Develop new plan for a new area of concern (triggers implementation of Departmental Probation which must be resolved within one semester or student will face dismissal).
- ☐ Insufficient progress, recommendation of dismissal from the program.

Signatures and dates from student, program director, and faculty, as relevant:

Signature	Date

Signature	Date

Signature	Date