



LONG ISLAND UNIVERSITY

**LIU Brooklyn
School of Health Professions
Department of Social Work**

**Doctorate of Social Work
Student Handbook 2024-2025**

LIU Brooklyn Campus Brooklyn, New York

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Doctorate of Social Work Degree Program Preface

On behalf of the social work faculty and staff of the LIU Brooklyn, we welcome you to our program. We designed this Student Handbook to help you understand the LIU DSW Program.

In this handbook, we review our Doctorate of Social Work degree program. In addition to reading this handbook, we recommend that you also read all relevant material in the Graduate Bulletin appropriate to your campus (see LIU. Edu for more information). The Graduate Bulletin is the official and binding document governing all programs in the University. Please feel free to reach out to faculty and staff as needed. Our faculty and staff are available to answer any remaining questions to ensure your academic success and provide guidance toward a successful social work career.

The LIU DSW program has all the essentials for an exciting academic experience, which will enhance your professional career. The curriculum is carefully constructed to lead to specialized practice in one of three areas: Advanced Practice Management, Teaching in the Academy, and Organizational Leadership.

Welcome to LIU's DSW Program! Best wishes for a rewarding educational experience.

Dr. Rebecca Rivera

Dr. Rebecca Rivera, Ph.D., LCSW-R
Assistant Professor
Chair, LIU Brooklyn Social Work Department
MSW Program Director/Chief Administrator

Dr. Samuel Rosenberg,

Dr. Samuel Rosenberg, Ph.D., LCSW
Professor
DSW Program Director

Long Island University

In its ninth decade of providing access to the American dream through excellence in higher education, Long Island University is a multi-campus, diverse, doctoral institution of higher learning. One of the largest and most comprehensive private universities in the country, the University offers 590 undergraduate, graduate and doctoral degree programs and certificates, and educates over 20,000* credit seeking and continuing education students in Brooklyn, Brookville (LIU Post), Brentwood, Riverhead, Rockland and Westchester. The Arnold & Marie Schwartz College of Pharmacy and Health Sciences prepares students for successful careers in the fields of pharmacy and health care. The University's Global College provides a wide range of study abroad options at overseas centers in China, Costa Rica and India, and through programs in Australia, Taiwan, Thailand and Turkey.

Long Island University's nearly 650 full-time faculty members provide outstanding instruction, which is supplemented by internships and cooperative education opportunities. The accomplishments of nearly 177,000 living alumni are a testament to the success of its mission – providing the highest level of education to people from all walks of life. The University's NCAA Division I and II athletic teams, nationally renowned George Polk Awards in journalism and Tilles Center for the Performing Arts provide enrichment for students and the community.

*This number includes high school students enrolled in one or more degree-credit courses.

Doctorate of Social Work Degree Program Mission, Vision, Goals, and Mission Statement

The mission of the Doctor of Social Work program is to prepare a diverse community of students to enter the field of social work as leaders who will advance the profession through expertise in organizational system change and professional development grounded in social justice, ethics, and integrity.

This mission is in congruence with the mission of the University through its commitments to create a diverse, ethical, and competent community of Social Work experts.

Program Description and Purpose

The LIU DSW is an accelerated path to a Doctorate in Social Work. Designed to be completed in two years, the program utilizes a mentorship model in which the student is paired with a mentor who works individually with the student from beginning to completion. The mentor provides individualized guidance on the capstone graduation project and helps the student clarify and achieve professional advancement goals.

The LIU DSW features a hybrid model that provides students with synchronous Zoom and in-person classes. The curriculum consists of foundation courses during the fall and spring semesters. There is one six-week summer intensive semester where the students commence developing their capstone and their area of specialization. There are three specialization areas: Advanced Practice Management, Teaching in the Academy, and Organizational Leadership. The summer intensive is scheduled on weekday evenings. Mentors and mentees are paired upon admission to the program. The Mentor/mentee relationship continues throughout the program's duration, culminating in the capstone defense, which is scheduled following summer session II.

LIU DSW Program Goals

As aligned with the Council on Social Work Education's draft DSW standards, the DSW is a professional practice doctoral program that educates master's-level social work practitioners who are graduates of CSWE-accredited programs as doctoral-level practitioner-scholars. Candidates will develop, translate, and advance social work practice knowledge, engage in systematic inquiry, and apply and disseminate research-informed knowledge, values, ethics, and skills in social work through practice, professional leadership, and teaching.

NOTE: The DSW program is currently not accredited by the Council on Social Work Education (CSWE). CSWE has issued draft standards and is in the exploratory phase with regard to the planned future accreditation of the DSW program.

Criteria for Admission and Academic Standing

Long Island University's DSW Program's admission criteria and procedures reflect the program's goals and objectives and support the Long Island University philosophy of "Access and Excellence." The program seeks students from diverse backgrounds who reflect the diversity of the populations its graduates will serve, regionally, and globally.

Students who apply to this program should be interested in working with populations-at-risk, including the elderly; immigrants and refugees; the physically and mentally challenged; lesbian, gay, bisexual, transgender, queer, intersexed, asexual, ally and pansexual (LGBTQIA+) individuals; economically disadvantaged; and other people who are at-risk, through direct care or leadership roles in the field of social work.

The Long Island University DSW Program seeks applicants who have a broad liberal arts education consisting of the humanities, social and behavioral sciences, the natural sciences including biology, and courses reflective of a basic interest in human services.

Additional requirements include:

1. A graduate degree in social work from a regionally accredited university
2. A minimum overall grade point average of 3.0
3. A "B" average in courses taken in the last two semesters of their graduate studies.
4. Graduate transcript
5. Personal characteristics and qualifications essential for professional work with vulnerable individuals and populations-at-risk as consistent with the NASW Code of Ethics and other related professional codes.

Only candidates who have earned a graduate degree in social work may be considered for admission to the Doctorate of Social Work degree program. The DSW Program's admission criteria include the requirements of a Bachelor of Arts or Bachelor of Science degree from an accredited university.

Communicating with Students, Faculty and Staff

Each LIU student is assigned a university email address to use for corresponding with university faculty and staff. It is the policy of the University, and the Department of Social Work, to communicate via official university email addresses. We understand that you have other email addresses, but we ask that you check your myliu.edu email address regularly (at least a few times per week). It is also possible to access this account on your smart phone, and/or forward emails from your myliu.edu account to your personal account.

Students can check their email by logging into <https://my.liu.edu>

Additionally, students will be required to use Brightspace Learning Management Software, which can be accessed here: <http://lms.liu.edu>

If you have any trouble accessing your MyLIU account, or Brightspace, contact IT.

IT Website: <http://it.liu.edu>

IT Email: IT@LIU.edu

IT Phone (Brooklyn): 718-488-3300

It is important to note that the design of the DSW curriculum is step-wise, or sequential, meaning that courses must be taken in a specific order throughout the program.

Full-Time Program- Course of Study

LIU DSW Degree Program - Full Time (2 years, 60 credits)		
<i>First Year Fall Semester</i>		
Course Number	Course Title	Credits
SWK 810	Epistemology	3
SWK 820	Mentorship	3
SWK 850	Research I	3
<i>First Year Spring Semester</i>		
Course Number	Course Title	Credits
SWK 830	Social Justice, Policy and Ethics	3
SWK 835	Critical Imagination in Social Work	3
SWK 840	Evidence Based Practice and Implementation Science	3
<i>Summer Intensive 6 Week</i>		
Course Number	Course Title	Credits
SWK 845	Diversity, Inclusion and Implicit Bias	3
SWK 851	Research II	3
SWK 870	Capstone I	3
<i>Second Year Fall Semester</i>		
Course Number	Course Title	Credits
SWK 871	Capstone II	3
	Concentration Course (I)^	3
	Concentration Course (II)^	3
<i>Second Year Spring Semester</i>		
Course Number	Course Title	Credits
SWK 872	Capstone III/Oral Defense	3
	Concentration Course (I)^	3
	Concentration Course (II)	3
<p>^Concentration courses are those included in each area of specialized study: Advanced Practice Management, Teaching in the Academy, and Organizational Leadership. Students must complete 4 courses in a particular concentration.</p>		

Plan of Study

Fall I

SWK 810: Epistemology: Theories of Knowledge

This course will explore how evidence is established. Epistemology is the study of the development of knowledge and justification. Specifically, the course will explore the assumptions concerning human and social activities that lead certain theoretical claims of evidence, with a focus on social work.

3 credits

SWK 850: Research I

This course introduces students to the scientific method as a way of knowing and provides an overview of the research methods most commonly used in research relevant to the social work profession. The course will cover quantitative and qualitative research. The core purposes of this course are to equip DSW students with the knowledge of research methods implicit in organizational leadership functions such as evidence-based management of human services organizations, evaluation of programs and direct practices, management of services tailored to unique practice communities, as well as teaching and professional training of social workers.

3 credits

SWK 820: Mentorship

This course will explore the functions of a mentor at the theoretical, administrative and educational levels in agency settings, higher education and autonomous practice. The multifaceted roles of the mentor as consultant, a trusted guide, a caring responsible adult and a positive role model will be studied from a variety of theoretical perspectives. Issues concerning ethical commitment, personal and professional interests and intersectionality in the areas of race, class, ethnicity, national origin, disability and sexual orientation will constitute major themes for the course.

3 credits

Spring I

SWK 830: Social Justice, Policy and Ethics

This course will engage students in a critical discussion of social justice, policy and ethics at the highest educational level of Social Work. Students will be challenged to increase their knowledge of diversity, social policy and ethical considerations at the advanced learner level. This course calls for the exploration of knowledge base conceptualizations aligned with skills needed to work towards justice at the Macro level. Humans' rights as it pertains to the Code of Ethics in social work will be thoroughly examined and demonstrated during the semester. Students will be challenged to demonstrate skills needed to work towards justice. This includes understanding power and control, social constructions, and ethical considerations.

3 credits

SWK 840: Evidence Based Practice and Implementation Science

This course emphasizes the use of current research evidence in Social Work to promote Evidence-Based Practice with individuals, families, organizations and communities. The concept of Evidence-Based Practices (EBP) was originally developed in the medical field and has subsequently been adopted by most disciplines in the health professions. It provides foundational knowledge that supports students' abilities to describe and interpret the scope of the profession, appraise new knowledge, create new knowledge, and interpret and apply this knowledge to practice. EBP approach has been adopted by the Council on Social Work Education as a pivotal skill for the training of social workers. Evidence based practice stands in opposition to authority-based practice which relies on opinions and anecdotal accounts to justify a specific practice. An important component of EBP is Shared Decision-Making (SDM), a communication process by which clients and practitioners work together to make optimal care decisions that align with what matters most to each client. The course complements the research courses by providing students with the tools to assess internal and external validity of specific studies of specific practices.

3 credits

SWK 835: Critical Imagination in Social Work

This course is inspired by the classic statement of the American sociologist C. Wright Mills in his book *The Sociological Imagination*. The foundation for the course introduces students to the conceptual understanding of the differences between "personal troubles" and "public issues." Social work as a profession and social workers as practitioners are essential in providing services to individuals, families, communities and organizations in the present moment and the immediate future. As such, imaginative and innovative approaches must be developed to fulfill the mission of the profession in the areas of health, mental health, poverty, discrimination, climate change and food insecurity. The approach will allow students to conceptualize these challenges by developing an understanding of the "intersection of history and biography" and create novel and innovative interventions that identify the processes to advance the biopsychosocial wellbeing of client systems into the future.

3 credits

Summer

SWK 845: Diversity, Inclusion, and Implicit Bias

This course offers a multidimensional perspective on issues of diversity and bias within social service organizations and historically marginalized communities. The course will provide the opportunity for students to explore the multifaceted roles social work leaders engage in within an ever-changing diverse world and workplace. The course allows students to explore how social work competencies and relevant theories on diversity can be applied to promote justice in decision making to address implicit biases, micro-aggressions, race relations, gender, gender identity, social policy development, individual and group dynamics within community and organizational structures.

3 credits

SWK 851: Research II

This course teaches students about the use of the scientific method to develop, test and implement interventions and policies relevant to the social work profession, the areas of mental health and social services. The broad research approach most relevant to intervention development, testing and implementation is experimental clinical trials. Correspondingly, this course is dedicated to introducing doctoral students to the core principles of clinical trials such as manipulation, causality criteria, internal and external validity of trials, threats to validity and ways to address them, as well as quasi-experiments and natural experiments. The students will also learn the contemporary classification of randomized trial designs related to their purposes, such as pilot/feasibility/acceptability studies, Phase I and II RCTs to establish efficacy and effectiveness, Hybrid Trials and Implementation Trials to test effectiveness of both the interventions and the implementation strategies assuring their integration into service systems, including community-based health and human services organizations/agencies. The course will also cover single-system time-series designs appropriate for practice management and case monitoring. Doctoral students will learn about implementation science and particularly, barriers and facilitators to implementation of evidence-based practices in social work-related service systems, as well as implementation strategies to address these barriers and leverage facilitators, to assure the uptake of evidence-based practices. Particular emphasis will be made on trials conducted in the frame of community-based participatory research (CBPR) and a broader classification of research-practice partnerships.

3 credits

SWK 870: Capstone 1

Capstone 1 is the first of three sequential courses that position the student to meet the capstone graduation requirement. The capstone is the culminating project of the DSW and entails the production of a substantial report on original research or an independent investigation of a topic of significance to the field of study. The capstone project provides the student with the opportunity to develop and demonstrate their ability to clearly define a problem of significance to the social work profession, to articulate a theoretical framework that relates to their topic, to write a literature relevant to the problem, describe prior attempts to resolve the issue, and generate original ideas to address the issue. Students complete the capstone in the final semester of the program and participate in an oral

defense it to a faculty committee chaired by the student's mentor. In Capstone 1, the focus of the course is on the formulation of the capstone topic. Early formulation of the capstone provides direction and guidance for a research effort that will continue throughout the program. As such the evolution of the capstone begins in Capstone 1 with the formulation of the capstone and continues throughout the program, with subsequent capstone courses focused on refining and developing the project.

3 credits

Fall II

SWK 871: Capstone II

Capstone II is the second of three sequential courses that lead to a completed capstone and oral defense. Capstone 2 course provides students with the knowledge and skills to write a capstone proposal. In this course, students build upon the capstone formulation developed in Capstone 1. The objective of a proposal development process enables students to clarify and synthesize the conceptual framework formulated in Capstone I. At this level, students will be constructing the necessary foundation for the successful completion of the capstone. Proposals must have as their ultimate objective a contribution to the knowledge of the different areas of practice of social work.

3 credits

Take the first two courses of your selected specialization area (specialization courses listed at the end) - both 3 credits

Spring II

Take the remaining two courses of your specialization area - both 3 credits

SWK 872: Capstone III/Oral Defense

Capstone III is the final of three sequential Capstone courses. In this course, students complete their capstone project and present it in an oral defense. This course constitutes the culmination of the Doctoral program. As such, students pull together and synthesize the knowledge and skills acquired during two years of rigorous and intensive study offered by the curriculum. Capstone III builds on the foundation developed in Capstone I and II. In Capstone III, the student builds upon and expands the Capstone proposal. The student is expected to produce a scholarly report on a topic of significance to the social work profession. Students have a variety of options to choose from when deciding how to develop their capstone topic, including systematic/ scoping reviews, quantitative designs including intervention studies and surveys, qualitative studies, and data driven development of practice manuals. The final product may be in the form of a traditional chapter-style manuscript or one publishable article.

Specialization 1: Advanced Practice Management

Fall II

SWK 833: Management in Not-for-Profit, Public Administration, and Private Practice Settings

This course serves as a basis for the study of management, and the application of human services management competencies as it applies to non-profit organizations, public administration, and private practice settings, including group practice. Students will learn management theories and evidence-based models to enhance social work practice in health and human service organizations and non-traditional social work settings, including private practice. The purpose of this course is to develop important professional and theoretical knowledge, skills, values, and competencies that will enable students to apply knowledge and skills to scenarios that they may encounter as managers and independent practitioners.

3 credits

SWK 825: Health Care Delivery Systems

This course is an overview of the political, economic, social, and epidemiological characteristics of health and medical care. The forms of health services financing, organization, and delivery systems in the United States and other industrialized nations, processes of health and disease in individuals, families and communities, and the moral and ethical issues facing health-care decision makers. The course will address how economic and policy issues influence the delivery of quality care and paying for health care, particular attention will be paid attention to accessibility, Medicaid, Medicare, self-pay, and different types of insurance. Inequities in the delivery of services based on race, economic status, gender, disability, and religious affiliation constitute a major concern for the course.

3 credits

Spring II

SWK 828: Healthcare Financing and Legal Issues in Practice Management

The course focuses on understanding the basic elements of the healthcare finance environment, the principles and practices of financial accounting, and the methods for analyzing and using financial accounting information for decisions. Students will explore managerial accounting basics, such as cost classifications and profit analysis, and develop skills integral to the operating budget and planning process, including cost allocation, and forecasting. The course familiarizes students with the legal context for service provision. Students will learn the rules and regulations regarding business entities and the management of a not-for-profit entity, including the fundamentals of laws, rules, and regulations that govern the establishment of not-for-profits and private practice. It addresses including hiring and employment, ensuring that business practices are congruent with diversity, equity, and inclusion. Attention will be given to the NASW Code of Ethics and the NASW standards on clinical practice. Students will learn about health industry regulations that govern private practice, including HIPPA, telehealth compliance,

malpractice, state specific licensing regulations, risk management practices, diagnostic coding, and ethical considerations.

3 credits

SWK 860: Supervision

While numerous definitions of supervision exist, for the purposes of this course, professional supervision is defined as the relationship between supervisor and supervisee that guides the development of the core competencies, skills, values, and ethics that provide the foundation for social work practice. The supervisor is responsible for providing direction to the supervisee, who applies social work theory, knowledge, skills, competency, and values and ethics in the practice setting. The supervisor and the supervisee both share responsibility for conducting their role in this collaborative process. The field of social work entails a multiplicity of areas of human behavior where personal and environmental processes intersect. Social workers utilize many theoretical frameworks and evidence-based practices to assist individuals, families, groups, organizations, and communities. The values and standards codified in the National Association of Social Workers Code of Ethics (2021) provide the foundation for professional practice and for supervisory relationships. This course prepares students for the role of supervisor in human service organizations with particular emphasis on supervision of social workers providing direct service to clients. Theoretical and technical approaches to the educational, administrative, and supportive functions.

3 credits

Specialization 2: Teaching Social Work in the Academy

Fall II

SWK 818: Pedagogy of Higher Education

This is the first course in the teaching academy sequence. This course is designed to prepare students to be leaders in social work education and teaching. Students will develop knowledge of a variety of teaching philosophies, including constructivist, feminist, inquiry-based, reflective, collaborative, and integrative approaches to understand the underlying theory of learning and teaching. The course will then focus on developing effective teaching skills, with an emphasis on strategies for facilitating active, learner-centered, experiential teaching methods. Students will explore practical issues in teaching and learning in social work education, such as course preparation, engaging students in the first-class meeting, strategies for stimulating discussion, grading practices, and developing interactive learning activities to prepare students for professional practice. Students will apply knowledge of various teaching methods through in-class role play and experiential learning activities designed to encourage reflective teaching practices and developing themselves as social work educators.

3 credits

SWK 808: Teaching with Technology

This course is designed to learn essential strategies to integrate technology into the social work curriculum and create an engaging and interactive online learning environment. Core principles of online course development, including design, interaction and assessment will be explored. Students will learn to create and develop course content; design learning outcomes and link them to course learning outcomes; and design collaborative and interactive course assignments. Students will practice developing course learning modules, and applying innovative techniques and technologies in both synchronous and asynchronous learning environments. A variety of learning activities to elicit active, critical reflection, such as journaling and discussion board will be discussed. Students will learn effective online grading and student feedback practices. Students engage in experiential learning activities that reflect the online learning experience in a blended course platform. A focal point of the course is to guide students through the instructional process and become familiar with the standards and guidelines that produce effective online and hybrid learning.

3 credits

Spring II

SWK 817: Syllabus Development

Building on knowledge of various pedagogical approaches in higher education, and methods of teaching with diverse technologies, this course focuses on syllabus design and development. Students will learn best practices in the development of an engaging, learner-centered syllabus, which is responsive to a diverse community of learners. The course examines the various stages of syllabus design, including: understanding the purpose and function of the course syllabus; formulation of clear learning goals and learning objectives; and, and implementation of evidence-based strategies to create effective assignments to support the attainment of student learning outcomes. Teaching methods and strategies that promote active learning, such as case studies, audio/visual material, and role-play activities will be examined. Emphasis is placed on learning the skills to plan and design a course syllabus that is grounded in the instructor's teaching philosophy and pedagogical approach, as well as linked to the Council on Social Work Education's 2015 Educational Policy and Accreditation Standards core competencies. Principles of course mapping, learner-centered syllabus design, inclusive pedagogy, active learning, and backward design will provide a framework for constructing an effective syllabus.

3 credits

SWK 816: Teaching a BSW or MSW course

This course will engage students in a critical discussion and demonstration of social work education. This course calls for the exploration of knowledge base conceptualizations aligned with skills needed to teach at the Bachelors and Masters level. Students will have the opportunity to develop skills such as course design, grading rubrics, syllabus creation, lesson planning and teaching. This course prepares students for opportunities to teach at the adjunct level, and/or to apply to full-time faculty positions.

3 credits

Specialization 3: Organizational Leadership

Fall II

SWK 826: Grant Writing

The overall goal of this grant application and submission course is to provide doctoral students with the advanced skillset of developing projects and writing, submitting and further managing research and non-research grants. The course will familiarize the doctoral students with various leading federal and foundational funding agencies appropriate for a variety of projects related to the social work profession. Particular emphasis will be on federal funding sources such as NIH, CDC, SAMHSA, AHRQ, and DOJ, as well as major foundations such as RWJ Foundation and Ford Foundation. The students will be trained to turn project ideas into potentially fundable grant proposals. They will learn about a variety of funding mechanisms and how to tailor one's project ideas to the rigors and requirements of each funding mechanism.

3 credits

SWK 827: Program Evaluation

The overall goal of this Program and Practice Evaluation course is to provide doctoral students with an advance skillset of how to use rigorous research methods to evaluate effectiveness, efficiency, appropriateness and acceptability of social work practice and programs. The course covers the methods, concepts, and principles of direct practice and program evaluation approaches in order for the doctoral students to become highly capable evaluators of direct practices, and human service programs, agencies and organizations contributing to evidence-based leadership and service management. The course builds on what constitutes a program, identifying the mission, goals, and social work role within a program, understanding the implications of the organizational history and context of a program, the types and purposes of practice and program evaluation designs, measurement and data collection options, ethical and cultural considerations in the design and implementation of program and practice evaluation, anticipating the possibly diverse interests of various stakeholders in evaluation, and assessing the evaluability of a program.

3 credits

Spring II

SWK 805: Theories of Leadership

This course centers on leadership theories employed in organizations and agencies to guide supervisors and leaders to deliver quality social services effectively and efficiently to employees, clients, community and stakeholders to enhance human well-being and help meet the basic human needs of all people, with particular attention to the needs and empowerment of people who are vulnerable, oppressed, and living in poverty.

The course will present opportunities for doctoral students to examine and explore leadership theories, styles and skills in not-for profit, for-profit and private organizations and agencies.

3 credits

SWK 812: Conflict Resolution and Negotiation

Conflict is unavoidable in every organization. How to manage conflict is most important for social work leaders, clinicians and academicians. In many instances, the embrace of collaboration, mediation, compromise and the use of active listening are paramount to managing challenging issues. In this course, doctoral students will examine psychological and structural factors influencing organizational, agency and community conflict. Through the use of role plays, video lessons, conflict resolution theories and negotiation skills, doctoral students will explore analytical and practice tools necessary to navigate mutually beneficial solutions and agreements to identify, reduce and resolve conflicts. In this course, students will apply social work practice skills at the micro, mezzo and macro levels to promote a timely responsiveness to unique and emerging conflicts impacting social, economic and environmental dimensions in local, regional, and global professional settings.

3 credits

Students' Rights and Responsibilities

The Social Work Program adheres to the University's overall policies on students' rights and responsibilities. The LIU DSW program has policies and procedures specifying students' rights and responsibilities to participate in formulating and modifying policies affecting academic and student affairs. It provides opportunities and encourages students to organize in their interests. Students are encouraged to engage in the formulation and modification of curriculum and faculty instruction by means of routine course evaluations. In addition, the program includes design for a student association representing interested students from both campuses. This association will serve to provide input into matters concerning respective campuses and will also provide expanded opportunity for student contact across campuses. The interchange among students across campuses is designed to increase the potential for a higher level of integration in areas related to student development, including broadening of exposure to diverse communities and career planning.

Academic Advisement

The faculty and senior professional staff contribute significantly to the proper guidance and advisement of the Program's students. Advisement is divided into three general areas, with different members of the faculty and staff assigned primary responsibility to the area of greatest interest, utility, and competence. These areas include program orientation, curriculum, student life, career planning, and professional development.

The Program Orientation component of advisement focuses on familiarizing new students with the program's operations, resources, policies, and procedures. One faculty member is primarily responsible for ensuring that all incoming students have access to pertinent information and resources.

The faculty member responsible for curriculum issues will focus on disseminating information regarding graduation requirements, including changes and updates in curriculum content, form, sequence, and course availability. This faculty person will also ensure that every student has access to someone to discuss these issues and facilitate this aspect of the education process. A variety of measures, both qualitative and quantitative, will be used to assist faculty in evaluating students' performance and guiding the advisement process.

Student Evaluation, Grievance, Appeal, & Dismissal Procedures

Should it become necessary to reassess a student's motivation and suitability for a career in social work, the Program has developed criteria and structures to evaluate student academic and behavioral performance. As part of these procedures, the Program has determined specific criteria for evaluation, grievance, appeal, and dismissal.

Criteria for Evaluating Students' Academic Performance

Grading Practices

There are nine possible grades a student may receive at the completion of each course:

Grade	Grade Points Provided	Numerical Equivalent
A	4.00	93-100
A-	3.67	90-92.99
B+	3.33	87-89.99
B	3.00	83-86.99
B-	2.67	80-82.99
C+	2.33	77-79.99
C	2.00	73-76.99
F	0.00	Below a 73

Student Grading and GPA Policy

Credits are granted for graduate courses completed with the grade of A, A-, B+, B, B-, C+, C, or a grade of F signifies failure, and no credit is awarded.

A grade of Incomplete (INC) may be assigned if a student fails to complete part of the required coursework. The faculty member assigns an INC. It is the student's responsibility to make specific arrangements with the instructor to complete the coursework and to have the grade submitted to the Office of the University Registrar before the end of the following semester.

INC grades in doctoral courses will normally convert to a grade of F if the work is not completed by the end of the following semester. If an unusual extension of time is necessary to complete the work, the grade change must be approved by the faculty member, the chairperson, and the dean. Upon completion of the INC grade, the grade "I" is printed on the transcript along with the final earned grade and the date the work was completed.

Students who never attended or stopped attending before the course withdrawal deadline date as defined in the academic calendar and did not properly withdraw by the published deadline may be assigned a grade of UW.

The W grade is automatically assigned when a student officially withdraws from a course by the published deadline dates in the academic calendar. View *Withdrawal Policy*.

Students who receive grades of W (withdrawal), UW (unauthorized withdrawal), INC (incomplete) or an opted Pass/Fail in the fall or spring semester are ineligible for inclusion on the Dean's for that semester.

Students have the option to repeat a course. In the event that individual programs have their own policies on repeating a course, the more restrictive policy will apply. Credits will be earned only once, and although the original grade remains on the student's permanent record, the second grade (whether higher or lower) will be used in computing the grade point average. No student who has taken a course and received a passing grade in it may repeat that course for credits after he or she has taken a related course containing content of a higher level.

Required courses in which a grade of F was earned should be repeated within one year. Students are responsible for monitoring their major and cumulative averages to ensure they are meeting the graduation requirements and satisfactory academic progress requirements.

Students must achieve designated GPAs in order to graduate. Doctoral students must achieve an overall Grade Point Average (GPA) of 3.00 to graduate.

Academic Standing

DSW students must maintain a B (3.0) cumulative grade point average (GPA) in order to remain a student in good standing.

Any DSW student with a cumulative or semester GPA between 2.5 and 2.99 at the end of any semester (or its equivalent) will be placed on probation for a specific time period. The program director informs students on probation in writing of their probationary status. A student on probation who does not raise her or his GPA to 3.0 by the end of the specified probationary period may be subject to student review and dismissal from the program.

Any DSW student with a cumulative or semester GPA below 2.5 at any point in the program may be subject to dismissal from the program. Students who earn more than two grades under a B- may be dismissed from the program.

When a DSW student is dismissed from the program, s/he can appeal this decision to the Grievance & Appeals Committee (see related section below).

Incomplete Coursework

Incomplete grades cannot simply be provided because a student did not complete the required coursework before the end of the semester. Incomplete grades should ONLY be assigned when the student and faculty member have reached an agreement, prior to the end of the grading period, on the timing of the student's submission of missing coursework. Such (a) deadline(s) must be prior to the end of the following semester.

A student who receives a grade of incomplete (I) has one semester following the semester in which the course was registered to complete the work and receive a grade. After that time period has passed, the course must be retaken at full tuition. Students with 9 credits of incomplete classes will not be allowed to register for more classes.

Leave of Absence

Students wishing to take a leave of absence can do so with permission from the Program Director. Leaves of absence will be granted for an established period of time, depending on the nature of the request. However, students must complete the program within the 5-year limit, or they will be dismissed from the program.

Plagiarism

Plagiarism will not be tolerated. According to the Merriam-Webster Online Dictionary, "to Plagiarize" means:

- To steal and pass off (the ideas or words of another) as one's own
- To use (another's production) without crediting the source.
- To commit literary theft
- To present a new and original idea or product derived from an existing source.
- In other words, plagiarism is an act of fraud. It involves both stealing someone else's work and lying about it afterward" (Plagiarism.org, 2008, paragraph 2).

“Plagiarism and cheating are not only serious violations of the rules but may also adversely affect the student’s reputation as well as the reputation of the Campus. “A student in violation of accepted academic procedures may be subject to disciplinary action, up to and including expulsion

from the Campus” (LIU Graduate Bulletin 2022-2023, pp. 12 -13). The current LIU Graduate Bulletin can be accessed at <https://liu.edu/enrollment-services/registration/academic-bulletins>.

Plagiarism is unacceptable in the DSW program. Plagiarism may result in a failing grade for the assignment, the course, possible dismissal from the program, and potential expulsion from the University.

Please speak with a member of the faculty should you have any questions about plagiarism. For additional information, review the plagiarism material on the LIU Library Web page.

Student Services

Financial aid packages are available to Social Work doctoral students. Financial Aid is available through student loans. All financial aid awards from federal, state, and university sources are awarded on a funds-available basis. All students must file the Free Application for Federal Student Aid (FAFSA). Upon your acceptance to the DSW Program and our receipt of your processed FAFSA information, the Office of Enrollment Service will determine your eligibility to participate in the various financial assistance programs. Students may file the FAFSA over the Internet at www.fafsa.gov. In order for the Office of Enrollment Services to receive the processed results of the FAFSA, students must list the federal processing code #002751 (LIU All Campuses) on their online FAFSA application in the information release section.

Learning Support & Health Services

Students are encouraged to avail themselves of remedial and support services. The University has many service offices that assist students with their concerns. At Brooklyn, these services are offered through the campus life office in Pratt 510, Monday through Friday, 9 am-5 pm to make an appointment, and walk-in hours Monday, Wednesday, and Thursday, 10 am-3 pm. You can contact the office at 718-488-1266.

Students with documented disabilities should register with the Brooklyn Student Support Services; the website is: <https://liu.edu/student-success>

Non-discrimination Policy

It is the policy of Long Island University that no person in relationship with the University shall be subject to discrimination on the basis of race, ethnicity, age, gender, sexual orientation, disability, or any other individual or cultural characteristic in any area of policy and procedure, including student admissions, termination, and faculty recruitment. The program supports the principles of affirmative action and due process in hiring, admissions, retention, and termination decisions affecting both students and staff. Long Island University's policy on discrimination states: Long Island University does not discriminate on the basis of sex, sexual orientation, race, color, creed, national origin, religion, age, handicap, or political belief, in any of its educational programs and activities, including employment practices and its policies relating to recruitment and admission of students. Additionally, Long Island University takes affirmative action to recruit applicants from among women, members of protected minority groups, handicapped individuals, and veterans, including disabled veterans and Vietnam-era veterans.

It is the policy of the School of Health Professions to comply with Title IX of the Education Amendments of 1972, which prohibits discrimination on the basis of sex (including sexual harassment and sexual violence) in the University's educational programs and activities. Title IX also prohibits retaliation for asserting or otherwise participating in claims of sex discrimination. Title IX states that: No person in the United States shall, on the basis of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any education program or activity receiving Federal financial assistance. The University's Policy on Title IX can be found at <http://www.liu.edu/About/Administration/University-Departments/Human-Resources/HR-Policies/Anti-Harassment-Discrimination-Policy>

Long Island University Social Work Program makes continuous efforts to provide students with a learning environment that reflects the profession's fundamental values including respect for and promoting understanding of diverse populations. When students are evaluated for admission to Long Island University and its Social Work Programs, this evaluation is done without prejudice based on such characteristics as class, color, disability, ethnicity, family structure, gender, marital status, national origin, race, religion, sex, and sexual orientation. The learning context in the classroom and field provides students with an understanding of and respect for diversity. Students are exposed to open and purposeful discussions, readings, and experiential exercises on issues that examine differences and commonalities among individuals and groups that may be different from them. Students also learn about the effects of discrimination, oppression, and social injustice on micro and macro levels and are encouraged to evaluate their own stereotypical thinking.

Sexual Misconduct Policy

It is the policy of Long Island University to promote a cooperative work and academic environment in which there exists mutual respect for all University students, faculty and staff. Sexual harassment is inconsistent with this objective and contrary to the University policy of equal employment and academic opportunity without regard to age, sex, sexual orientation, alienage or citizenship, race, religion, color, national or ethnic origin, disability, and veteran status. Sexual harassment is illegal under Federal, State, and City laws and will not be tolerated within the University. It is a violation of university policy for any member of the University community to engage in sexual harassment or to retaliate against any member of the University community for raising an allegation of sexual harassment, for filing a complaint alleging sexual harassment, or for participating in any proceeding to determine if sexual harassment has occurred. All policies regarding sexual misconduct can be found here: www.liu.edu/about/LIU-policy/policy-by-category-listing/#HR

Students with Disabilities & Accommodations

In accordance with Section 504 of the Rehabilitation Act of 1973 and the Americans with Disabilities Act of 1990, including changes made by the Americans with Disabilities Amendments Act of 2008, Long Island University does not discriminate against qualified individuals with disabilities. If you are a student with a documented disability/impairment (Psychological, Neurological, Chronic, Medical, Learning, Sensory, or Physical) and require reasonable accommodations, please provide an accommodation letter from Student Support Services. The office is located on the 4th floor of the Pratt Building. Phone (718) 488-1044. Hours of operation: Monday - Friday 9 A.M. to 5 P. M. All policies regarding these policies can be found here: www.liu.edu/about/LIU-policy/policy-by-category-listing/#HR

Criteria for Evaluating Students' Performance

The Social Work Program strives to ensure that students entering the social work profession are not only technically competent but also identify with the profession's values and ethics and are able to deliver social work services in a professional manner.

The following are possible indicators of a student's failure to meet non-academic standards of performance:

- Lack of identification with the values of the profession, as demonstrated in a lack of adaptation to the goals of the Social Work Program.

Students may demonstrate, through behavior and attitudes expressed in the classroom or with faculty, field instructors or clients, little or no commitment to the social work profession. For example, personal prejudices may present themselves that are irreconcilable with the profession's dedication to promoting social justice and celebration of diversity. If students cannot separate personal attitudes and behaviors from professional attitudes and behaviors and demonstrate a willingness to adapt to the goals of the profession, these students may be subject to dismissal from the program. The behavior of such students will be carefully monitored in the field for the protection of clients. Any indication that personal attitudes interfere with work with clients may subject a student to dismissal from the program.

☐ **Inadequate Interpersonal Relationship Skills**

Social work requires the ability to relate to others through non-judgmental communication and with warmth and compassion. Students will be evaluated in terms of their ability to relate genuinely and openly to clients, classmates, faculty, and field instructors. A persistent failure to relate to others in a non-judgmental and genuine manner may subject a student to dismissal from the program.

☐ **Personal Problems**

Students may have problems that interfere with self-awareness and the development of professional attitudes and behaviors. These problems may manifest themselves in a variety of concrete ways, including, absenteeism, lack of participation in class discussions, failure to complete assignments in a timely manner and belligerent behavior. Personal problems may also manifest themselves in signs of mental illness such as substance abuse, sociopathic tendencies, a narcissistic sense of entitlement, lack of boundaries or over identification with personal issues. Students are counseled upon identification of personal issues that impede their progress in the program and are referred for appropriate help. If help is not accepted and problems persist, students may be subject to dismissal from the program.

Violation of Norms and Ethics

DSW students are governed by a number of different codes, including, but not limited to: the NASW Code of Ethics, Campus Code of Conduct and the Social Work Program's Criteria for Evaluating Student Performance.

There is an on-going assessment of student identification with the values of social work profession as outlined in the NASW Code. [See Appendix A] These values include respect for the confidentiality of clients as well as for self-determination and non-discrimination. The NASW Code also identifies obligations to colleagues and to the advancement of professionalism and the social goals of the profession, primarily the commitment to the promotion of social justice. The Code includes standards of propriety or personal conduct and criteria for measuring competence and professional development. Students are expected to be knowledgeable about the requirements and behave accordingly. Any conduct that is contrary to the NASW Code of Ethic is subject to scrutiny and may subject a student to dismissal from the program. (See Appendix A for the NASW Code of Ethics.)

The following behaviors are violations of the LIU Campus Code of Conduct, and may result in disciplinary action:

- a. Violence or threat of violence, including behavior that jeopardizes the safety or well-being of other persons and sexual assault and sexual abuse.
- b. Verbal or physical harassment of members of the campus community or their guests, including discriminatory or racist behavior.
- c. Forgery and falsification of any official campus records.
- d. Illegal possession of keys; unlawful entry.
- e. Vandalism of campus property or destruction of property of another person.
- f. Violation of Smoking Policy.
- g. Possession or use of weapons and dangerous items.

- h. Violation of Campus Traffic Regulations.
- i. Theft and/or Possession of Stolen Property.
- j. Misuse of fire prevention apparatus or failure to respond to a fire alarm.
- k. Hazing, including Violation of State Law on Hazing.
- l. Solicitation and or commercial activities by an on-campus or off-campus organization unless approved by the Office of Student Activities.
- m. Illegal Gambling
- n. Use of computers for the violation of personal privacy or the committing of crimes.
- o. Violation of Alcohol and Substance Abuse Policy.
- p. Failure to cooperate with Campus Officials, e.g. providing false or misleading information.
- q. Conduct unbecoming a student.

Each LIU Campus has its own disciplinary sanctions for violations of Campus community norms, standards, and policies. Sanctions consist of a verbal and written warning, suspension for repeated infractions, a period of disciplinary probation, denial of use of certain facilities, permanent dismissal from the residence halls, or, in extreme cases, expulsion from Campus. In addition, each Campus follows a judicial process that includes a preliminary investigation, filing of charges, and hearing and decision. The process also includes an appeals procedure. Decisions that result in sanctions against social work students might also subject students to dismissal from the Social Work Program, even if the student is not expelled from the Campus. This would occur in cases where the behavior conflicts with the Program's Criteria for Evaluation of Student Performance.

Student Performance Concerns

The DSW Program is committed to assisting students with academic difficulties. If a student is having difficulty in the classroom, the classroom faculty will attempt to work on the problem with the student by identifying the concern(s) and working out a plan of action, including a specified time frame established and accepted by both students and faculty. If the student does not adhere to the plan to remedy the situation, the student receives a written warning from the faculty member and is encouraged to resolve the problem. If the student does not comply, the student may subsequently fail the class.

Student Review Committee

Procedures for a Student Review Committee Meeting

- Any full-time or adjunct faculty, staff member, and/or DSW student from the Brooklyn campus can request a meeting of the Student Review Committee by email or in writing to discuss concerns about a student's academic or non-academic performance.
- ☐ The student will be informed in writing of the meeting scheduled for her/his review. The student has the right to be present at this meeting.
- ☐ At least two department members will be present, along with the student.
- ☐ At the discretion of the department members selected for the meeting, another LIU Collaborative DSW Program student may be invited to be present for the hearing and participate in deliberations.
- ☐ At the meeting, the issues/concerns/problems will be clearly discussed and defined.
- ☐ The committee will work together with the student, and other relevant parties, including field instructors when appropriate, to determine the relevant facts and gather opinions of the relevant parties.

Outcome of a Student Review Committee Meeting

The Student Review Committee will consider what actions would be appropriate to take as a result of the student's performance and make a decision supported by the majority of committee members. After the Student Review Committee makes a determination, the student will be

notified in writing within 7 business days of the meeting that outlines the issue(s) identified, action taken, if any, and consequences if the student fails to adhere to any conditions for student performance set during the meeting that are deemed necessary for continued involvement in the program.

The Student Review Committee may decide:

- ☐ The student cannot continue in the program. Termination from the program can occur during any semester, including the last semester.
- ☐ That the student may continue in the program but must meet certain stipulations (outlined in written form and provided to the student).
- ☐ That the student may remain in the program, without stipulation.
- The student's file will contain any decision of the Student Review Committee and relevant documents.

The student has a right to file a grievance or appeal regarding the outcome of the Student Review Committee policy and procedures.

Grievance, Appeal, and Dismissal Procedures

Students in the DSW program will experience a scrupulous regard for their rights as students and individuals and should expect to be treated fairly and with courtesy by all members of the LIU community. In any matter in which students feel that their rights have been violated, or in matters of serious dispute with members of the department, students may avail themselves of the following appeal & grievance procedures.

Grievances

1. If a student believes their rights have been violated, they can file a grievance within 30 business days of such perceived violation.
2. The written request outlining the grievance should include the course, course number, instructor, and a statement of the grievance, along with any other pertinent information.
3. The student must submit this statement to the staff member involved. The student will be given a **written response** from that staff member within 10 business days.
4. If the student is not satisfied with the response from the course instructor, the student may appeal, in writing, to either the Program Director, who will arrange for the Grievances & Appeals Committee to review the matter.

Grade Appeals

1. Students who wish to appeal a final course grade (or assignment grade) must initiate the process with the course instructor within 30 business days of the course grade being officially posted on MYLIU. The written request should include the course, course number, instructor, the final grade, the reason for the appeal, and any other pertinent information.
2. The course instructor will provide a written response to the student within 10 business days.
3. If the student is not satisfied with the response from the course instructor, the student may appeal, in writing, to the Program Director (at the appropriate campus). The Program Director will arrange for the Grievances & Appeals Committee to review the matter.

While a student is appealing a final grade, s/he can continue in the program's curriculum as s/he would if her/his appeal was granted. However, if the student's appeal is ultimately NOT granted, the student will revert to the conditions imposed by the final grade decision, regardless of her/his progress subsequent to the filing of the appeal. *Appeal of Dismissal Decisions*

1. To appeal a dismissal decision, the student must submit a request to the Chief Administrator or Program Director (at the appropriate campus) within 30 days of being notified of the dismissal.
2. The written request should include all pertinent information to be considered by the Grievance & Appeals Committee.
3. The Chief Administrator or Program Director will arrange for the Grievances & Appeals Committee to review the decision.
4. While a student is appealing a dismissal decision, s/he can continue in the program's curriculum as s/he would if her/his appeal was granted. However, if the student's appeal is ultimately NOT granted, the student will revert to the conditions imposed by the dismissal, regardless of her/his progress subsequent to the filing of the appeal.

Grievance & Appeals Committee

1. The Grievance & Appeals Committee is comprised of 2 department members representing either or both the LIU Brooklyn campus. At the discretion of the department members selected for the meeting, another LIU DSW Program student may be invited to be present for the hearing and participate in deliberations.
2. The structure of this committee provides objectivity in view of the student's situation.
3. The Committee's purpose is to arbitrate student grievances and appeals and attempt to resolve any conflicts between students and faculty that require mediation.
4. The committee will convene within 30 days of receiving the charge to adjudicate an appeal or grievance request from the Chief Administrator or Program Director.
5. The Committee will first determine if a meeting is necessary. For instance, in cases where the appeal is strictly related to calculations of final grades and not based on grades given on individual assignments, the Committee may choose to deliberate the merits of the appeal based strictly on the submission of assignment grades, rubrics, and the syllabus and render a decision in writing.
6. If the Committee determines that a meeting is necessary, the student will be given an

opportunity to explain her/his appeal or grievance. The department members involved will also be given an opportunity to explain her/his perspective on the matter. The committee members will also have the opportunity to ask questions of the student and department members. The student and department member WILL NOT have the opportunity to ask questions of each other. Committee meetings should not last more than one hour.

7. Students are allowed to bring one person with them during the meeting (including but not limited to a family member, friend, or attorney). However, this person is not allowed to participate in the hearing. Additionally, the student will have to sign a release allowing such a person to have access to their protected educational records, as such will be discussed at the hearing. Students must notify the DSW program of the intention to bring someone with them to the hearing PRIOR to the scheduling of the hearing. Notification after the time and date for the hearing has been set may result in the hearing being rescheduled. If the student intends to bring a lawyer to the hearing, the department must be notified as soon as possible since the hearing will need to be scheduled to accommodate attendance by LIU legal counsel.
8. At the conclusion of the meeting, the Program Director will instruct the student and involved department members to leave. The committee members will discuss the case before them and come to a consensus on a decision. The Program Director will notify the student of the committee's decision in writing within 10 business days after the hearing.
9. It is important to note that this committee cannot replace their judgment with that of a faculty member. The committee is instead charged with ensuring that a grade was provided, and/or a student's rights and privileges were respected, in accordance with the policies and procedures outlined in the course syllabus and relevant handbooks, and that there has been due process.
10. If the student believes her/his rights to due process were not preserved through this department-level process, she/he may appeal to the Dean's Office of the School of Health Professions (see below).

Dean's Office Appeal Process

The following process will be used for all appeals that students choose to bring to the Dean. **This process will not supersede program or division procedures and will only be followed after appeals at the department level are exhausted.**

1. The student **MUST** have first followed departmental appeal processes, including, but not limited to, appeals to the instructor, the division/department/program director, and the committee (where applicable).
2. Appeals to the Dean must be submitted in writing within 10 days of receipt of the decision letter from the Division/Department/Program. The appeal must also be accompanied by a completed Appeal Checklist.
3. Deliberation at the Dean's Office level of appeal is limited to ensuring that students are provided due process at all stages of appeal, as outlined in the relevant course syllabus and student handbooks, and that policies and procedures have been followed.
4. If the Dean sees no issue needing clarification through a hearing, the Dean may make a decision on the merits of the appeal based on the written appeal and other written documentation provided by the department or division.
5. If deemed necessary, the Dean will appoint a Hearing Officer who will assemble an *ad hoc* Appeal Committee. The Appeal Committee will consist of three members from the School of Health Professions, who may be tenure track faculty, non-tenure track faculty, and/or have administrative roles. An effort will be made to include one committee member from the division/department/program from which the appeal has originated. This individual should not have participated as a committee member at the division/department/program level, nor be the individual presenting the division/department/program position. The Dean may be present at the hearing.
6. The hearing will be scheduled as expeditiously as possible.
7. The student may bring someone to accompany them to the hearing for support, but that person cannot contribute to the hearing or participate in any way. If the student chooses to bring someone, s/he must notify the hearing officer at least 7 days in advance of the hearing, with the name and relationship to the student. If the student intends to bring a lawyer to the hearing, the hearing may need to be rescheduled to accommodate attendance by LIU University counsel. The student must sign a waiver allowing any outside person to hear her/his protected educational records that will be discussed during the hearing.
8. At the hearing (with all parties present):
9. The hearing may be recorded for future reference.

The student will present his/her appeal, including justifications, circumstances, and anything else he/she wishes the Board to consider. The maximum time allowed is 30 minutes.

The course instructor or other appropriate department/division/program representative will present the circumstances and evidence leading to the decision being appealed. The maximum time allowed is 30 minutes. Students and faculty will not engage in debate of the circumstances with each other but will answer questions posed by the Committee for the purpose of clarification. Upon completion of the presentations and any questioning by the Committee, the student and division/department/program representative will be excused. The Committee will discuss the facts of the appeal and reach a consensus or vote on a recommendation to the Dean. If a vote is taken, the Hearing Officer will not vote.

Within 7 business days of the hearing, the Hearing Officer will prepare a written report that

contains:

- a). A summary of the information presented by both sides at the hearing.
- b). A summary of the discussion of the Committee after the parties were dismissed;
- c). A recommendation for action by the Dean.

The Dean will then reach a decision based upon the report from the Board, the written appeal submitted by the student and any other information relevant to the case and will notify the student by certified mail as well as by email when available. This decision will normally be made within 48 hours of receipt of the hearing report, unless further investigation is necessary, or the Dean is unavailable within that time frame. If the decision is delayed longer than 10 days post hearing, the student will be notified by the Dean's Office of that delay.

The foregoing procedure shall be a formal grievance procedure for the resolution of all student grievances, including those alleging actions prohibited by legislation.

Student Appeal form must be submitted to the Dean's office with the written appeal. See Appendix B.

Appendix A: NASW Code of Ethics

<https://www.socialworkers.org/About/Ethics/Code-of-Ethics/Code-of-Ethics-English>

The NASW Code of Ethics is a set of standards that guide the professional conduct of social workers. The 2021 update includes language that addresses the importance of professional self-care. Moreover, revisions to Cultural Competence standard provide more explicit guidance to social workers. All social workers should review the new text and affirm their commitment to abide by the Code of Ethics. Also available in Spanish.

- The first Section, "Preamble," summarizes the social work profession's mission and core values.
- The second section, [Purpose of the NASW Code of Ethics](#), provides an overview of the Code's main functions and a brief guide for dealing with ethical issues or dilemmas in social work practice.
- The third section, [Ethical Principles](#), presents broad ethical principles, based on social work's core values, that inform social work practice.
- The final section, [Ethical Standards](#), includes specific ethical standards to guide social workers' conduct and to provide a basis for adjudication.

Preamble

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

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

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

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

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

Purpose of the NASW Code of Ethics

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

The NASW Code of Ethics serves six purposes:

1. The Code identifies core values on which social work's mission is based.
2. The Code summarizes broad ethical principles that reflect the profession's core values and establishes a set of specific ethical standards that should be used to guide social work practice.
3. The Code is designed to help social workers identify relevant considerations when professional obligations conflict or ethical uncertainties arise.
4. The Code provides ethical standards by which the general public can hold the social work profession accountable.
5. The Code socializes practitioners new to the field to social work's mission, values, ethical principles, and ethical standards and encourages all social workers to engage in self-care, ongoing education, and other activities to ensure their commitment to those same core features of the profession.
6. The Code articulates standards that the social work profession itself can use to assess whether social workers have engaged in unethical conduct. NASW has formal procedures to adjudicate ethics complaints filed against its members.* In subscribing to this Code, social workers are required to cooperate in its implementation, participate in NASW adjudication proceedings, and abide by any NASW disciplinary rulings or sanctions based on it.

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

* For information on the NASW Professional Review Process, see NASW Procedures for Professional Review.

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

Ethical decision-making is a process. In situations when conflicting obligations arise, social workers may be faced with complex ethical dilemmas that have no simple answers. Social workers should consider all the values, principles, and standards in this Code that are relevant to any situation in which ethical judgment is warranted. Social workers' decisions and actions should be consistent with the spirit as well as the letter of this Code.

In addition to this Code, there are many other sources of information about ethical thinking that may be useful. Social workers should consider ethical theory and principles generally, social work theory and research, laws, regulations, agency policies, and other relevant codes of ethics, recognizing that among codes of ethics social workers should consider the NASW Code of Ethics as their primary source. Social workers also should be aware of the impact on ethical decision making of their clients' and their own personal values and cultural and religious beliefs and practices. They should be aware

of any conflicts between personal and professional values and deal with them responsibly. For additional guidance, social workers should consult the relevant literature on professional ethics and ethical decision-making and seek appropriate consultation when faced with ethical dilemmas. This may involve consultation with an agency-based or social work organization's ethics committee, a regulatory body, knowledgeable colleagues, supervisors, or legal counsel.

Instances may arise when social workers' ethical obligations conflict with agency policies or relevant laws or regulations. When such conflicts occur, social workers must make a responsible effort to resolve the conflict in a manner that is consistent with the values, principles, and standards expressed in this Code. If a reasonable resolution of the conflict does not appear possible, social workers should seek proper consultation before making a decision. The NASW Code of Ethics is to be used by NASW and by individuals, agencies, organizations, and bodies (such as licensing and regulatory boards, professional liability insurance providers, courts of law, agency boards of directors, government agencies, and other professional groups) that choose to adopt it or use it as a frame of reference. Violation of standards in this Code does not automatically imply legal liability or violation of the law.

Such a determination can only be made in the context of legal and judicial proceedings. Alleged violations of the Code would be subject to a peer review process. Such processes are generally separate from legal or administrative procedures and insulated from legal review or proceedings to allow the profession to counsel and discipline its own members.

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

With growth in the use of communication technology in various aspects of social work practice, social workers need to be aware of the unique challenges that may arise in relation to the maintenance of confidentiality, informed consent, professional boundaries, professional competence, record keeping, and other ethical considerations. In general, all ethical standards in this Code of Ethics are applicable to interactions, relationships, or communications, whether they occur in person or with the use of technology. For the purposes of this Code, "technology-assisted social work services" include any social work services that involve the use of computers, mobile or landline telephones, tablets, video technology, or other electronic or digital technologies; this includes the use of various electronic or digital platforms, such as the Internet, online social media, chat rooms, text messaging, e-mail, and emerging digital applications. Technology-assisted social work services encompass all aspects of social work practice, including psychotherapy; individual, family, or group counseling; community organization; administration; advocacy; mediation; education; supervision; research; evaluation; and other social work services. Social workers should keep apprised of emerging technological developments that may be used in social work practice and how various ethical standards apply to them.

Professional self-care is paramount for competent and ethical social work practice. Professional demands, challenging workplace climates, and exposure to trauma warrant that social workers maintain personal and professional health, safety, and integrity. Social work organizations, agencies, and educational institutions are encouraged to promote organizational policies, practices, and materials to support social workers' self-care.

Ethical Principles

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

Value: Service

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

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

Value: Social

Justice

Ethical Principle: Social workers challenge social injustice.

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

Value: Dignity and Worth of the Person

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

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

Value: Importance of Human Relationships

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

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

Value: Integrity

Ethical Principle: Social workers behave in a trustworthy manner.

Social workers are continually aware of the profession's mission, values, ethical principles, and ethical standards and practice in a manner consistent with them. Social workers should take measures to care for themselves professionally and personally. Social workers act honestly and responsibly and promote ethical practices on the part of the organizations with which they are affiliated.

Value: Competence

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

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

Ethical Standards

The following ethical standards are relevant to the professional activities of all social workers. These standards concern (1) social workers' ethical responsibilities to clients, (2) social workers' ethical responsibilities to colleagues, (3) social workers' ethical responsibilities in practice settings, (4)

social workers' ethical responsibilities as professionals, (5) social workers' ethical responsibilities to the social work profession, and (6) social workers' ethical responsibilities to the broader society. Some of the standards that follow are enforceable guidelines for professional conduct, and some are aspirational. The extent to which each standard is enforceable is a matter of professional judgment to be exercised by those responsible for reviewing alleged violations of ethical standards.

1. Social Workers' Ethical Responsibilities to Clients

NASW Code of Ethics: Ethical Standards

1.01 Commitment to Clients

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

1.02 Self-Determination

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

1.03 Informed Consent

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

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

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

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

(e) Social workers should discuss with clients the social workers' policies concerning the use of technology in the provision of professional services.

(f) Social workers who use technology to provide social work services should obtain informed consent from the individuals using these services during the initial screening or interview and prior to initiating services. Social workers should assess clients' capacity to provide informed consent and, when using technology to communicate, verify the identity and location of clients.

(g) Social workers who use technology to provide social work services should assess the clients' suitability and capacity for electronic and remote services. Social workers should consider the clients' intellectual, emotional, and physical ability to use technology to receive services and ability to understand the potential benefits, risks, and limitations of such services. If clients do not wish to use services provided through technology, social workers should help them identify alternate methods of service.

(h) Social workers should obtain clients' informed consent before making audio or video recordings of clients or permitting observation of service provision by a third party.

(i) Social workers should obtain client consent before conducting an electronic search on the client. Exceptions may arise when the search is for the purpose of protecting the client or others from serious, foreseeable, and imminent harm, or for other compelling professional reasons.

1.04 Competence

- (a) Social workers should provide services and represent themselves as competent only within the boundaries of their education, training, license, certification, consultation received, supervised experience, or other relevant professional experience.
- (b) Social workers should provide services in substantive areas or use intervention techniques or approaches that are new to them only after engaging in appropriate study, training, consultation, and supervision from people who are competent in those interventions or techniques.
- (c) When generally recognized standards do not exist with respect to an emerging area of practice, social workers should exercise careful judgment and take responsible steps (including appropriate education, research, training, consultation, and supervision) to ensure the competence of their work and to protect clients from harm.
- (d) Social workers who use technology in the provision of social work services should ensure that they have the necessary knowledge and skills to provide such services in a competent manner. This includes an understanding of the special communication challenges when using technology and the ability to implement strategies to address these challenges.
- (e) Social workers who use technology in providing social work services should comply with the laws governing technology and social work practice in the jurisdiction in which they are regulated and located and, as applicable, in the jurisdiction in which the client is located.

1.05 Cultural Competence

- (a) Social workers should demonstrate understanding of culture and its function in human behavior and society, recognizing the strengths that exist in all cultures.
- (b) Social workers should demonstrate knowledge that guides practice with clients of various cultures and be able to demonstrate skills in the provision of culturally informed services that empower marginalized individuals and groups. Social workers must take action against oppression, racism, discrimination, and inequities, and acknowledge personal privilege.
- (c) Social workers should demonstrate awareness and cultural humility by engaging in critical self-reflection (understanding their own bias and engaging in self-correction), recognizing clients as experts of their own culture, committing to lifelong learning, and holding institutions accountable for advancing cultural humility.
- (d) Social workers should obtain education about and demonstrate understanding of the nature of social diversity and oppression with respect to race, ethnicity, national origin, color, sex, sexual orientation, gender identity or expression, age, marital status, political belief, religion, immigration status, and mental or physical ability.
- (e) Social workers who provide electronic social work services should be aware of cultural and socioeconomic differences among clients' use of and access to electronic technology and seek to prevent such potential barriers. Social workers should assess cultural, environmental, economic, mental or physical ability, linguistic, and other issues that may affect the delivery or use of these services.

1.06 Conflicts of Interest

- (a) Social workers should be alert to and avoid conflicts of interest that interfere with the exercise of professional discretion and impartial judgment. Social workers should inform clients when a real or potential conflict of interest arises and take reasonable steps to resolve the issue in a manner that makes the clients' interests primary and protects clients' interests to the greatest extent possible. In some cases, protecting clients' interests may require termination of the professional relationship with proper referral of the client.
- (b) Social workers should not take unfair advantage of any professional relationship or exploit others to further their personal, religious, political, or business interests.
- (c) Social workers should not engage in dual or multiple relationships with clients or former clients in which there is a risk of exploitation or potential harm to the client. In instances when dual or

multiple relationships are unavoidable, social workers should take steps to protect clients and are responsible for setting clear, appropriate, and culturally sensitive boundaries. (Dual or multiple relationships occur when social workers relate to clients in more than one relationship, whether professional, social, or business. Dual or multiple relationships can occur simultaneously or consecutively.)

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

(e) Social workers should avoid communication with clients using technology (such as social networking sites, online chat, e-mail, text messages, telephone, and video) for personal or non-work-related purposes.

(f) Social workers should be aware that posting personal information on professional Web sites or other media might cause boundary confusion, inappropriate dual relationships, or harm to clients.

(g) Social workers should be aware that personal affiliations may increase the likelihood that clients may discover the social worker's presence on Web sites, social media, and other forms of technology. Social workers should be aware that involvement in electronic communication with groups based on race, ethnicity, language, sexual orientation, gender identity or expression, mental or physical ability, religion, immigration status, and other personal affiliations may affect their ability to work effectively with particular clients.

(h) Social workers should avoid accepting requests from or engaging in personal relationships with clients on social networking sites or other electronic media to prevent boundary confusion, inappropriate dual relationships, or harm to clients.

1.07 Privacy and Confidentiality

(a) Social workers should respect clients' right to privacy. Social workers should not solicit private information from or about clients except for compelling professional reasons. Once private information is shared, standards of confidentiality apply.

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

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

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

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

- (f) When social workers provide counseling services to families, couples, or groups, social workers should seek agreement among the parties involved concerning each individual's right to confidentiality and obligation to preserve the confidentiality of information shared by others. This agreement should include consideration of whether confidential information may be exchanged in person or electronically, among clients or with others outside of formal counseling sessions. Social workers should inform participants in family, couples, or group counseling that social workers cannot guarantee that all participants will honor such agreements.
- (g) Social workers should inform clients involved in family, couples, marital, or group counseling of the social worker's, employer's, and agency's policy concerning the social worker's disclosure of confidential information among the parties involved in the counseling.
- (h) Social workers should not disclose confidential information to third-party payers unless clients have authorized such disclosure.
- (i) Social workers should not discuss confidential information, electronically or in person, in any setting unless privacy can be ensured. Social workers should not discuss confidential information in public or semipublic areas such as hallways, waiting rooms, elevators, and restaurants.
- (j) Social workers should protect the confidentiality of clients during legal proceedings to the extent permitted by law. When a court of law or other legally authorized body orders social workers to disclose confidential or privileged information without a client's consent and such disclosure could cause harm to the client, social workers should request that the court withdraw the order or limit the order as narrowly as possible or maintain the records under seal, unavailable for public inspection.
- (k) Social workers should protect the confidentiality of clients when responding to requests from members of the media.
- (l) Social workers should protect the confidentiality of clients' written and electronic records and other sensitive information. Social workers should take reasonable steps to ensure that clients' records are stored in a secure location and that clients' records are not available to others who are not authorized to have access.
- (m) Social workers should take reasonable steps to protect the confidentiality of electronic communications, including information provided to clients or third parties. Social workers should use applicable safeguards (such as encryption, firewalls, and passwords) when using electronic communications such as e-mail, online posts, online chat sessions, mobile communication, and text messages.
- (n) Social workers should develop and disclose policies and procedures for notifying clients of any breach of confidential information in a timely manner.
- (o) In the event of unauthorized access to client records or information, including any unauthorized access to the social worker's electronic communication or storage systems, social workers should inform clients of such disclosures, consistent with applicable laws and professional standards.
- (p) Social workers should develop and inform clients about their policies, consistent with prevailing social work ethical standards, on the use of electronic technology, including Internet-based search engines, to gather information about clients.
- (q) Social workers should avoid searching or gathering client information electronically unless there are compelling professional reasons, and when appropriate, with the client's informed consent.
- (r) Social workers should avoid posting any identifying or confidential information about clients on professional Web sites or other forms of social media.
- (s) Social workers should transfer or dispose of clients' records in a manner that protects clients' confidentiality and is consistent with applicable laws governing records and social work licensure.
- (t) Social workers should take reasonable precautions to protect client confidentiality in the event of the social worker's termination of practice, incapacitation, or death.
- (u) Social workers should not disclose identifying information when discussing clients for teaching or training purposes unless the client has consented to disclosure of confidential information.

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

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

1.08 Access to Records

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

(b) Social workers should develop and inform clients about their policies, consistent with prevailing social work ethical standards, on the use of technology to provide clients with access to their records.

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

1.09 Sexual Relationships

(a) Social workers should under no circumstances engage in sexual activities, inappropriate sexual communications through the use of technology or in person, or sexual contact with current clients, whether such contact is consensual or forced.

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

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

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

1.10 Physical Contact

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

1.11 Sexual Harassment

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

1.12 Derogatory Language

Social workers should not use derogatory language in their written, verbal, or electronic

communications to or about clients. Social workers should use accurate and respectful language in all communications to and about clients.

1.13 Payment for Services

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

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

(c) Social workers should not solicit a private fee or other remuneration for providing services to clients who are entitled to such available services through the social workers' employer or agency.

1.14 Clients Who Lack Decision-Making Capacity

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

1.15 Interruption of Services

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

1.16 Referral for Services

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

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

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

1.17 Termination of Services

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

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

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

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

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

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

2. Social Workers' Ethical Responsibilities to Colleagues

NASW Code of Ethics: Ethical Standards

2.01 Respect

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

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

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

2.02 Confidentiality

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

2.03 Interdisciplinary Collaboration

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

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

2.04 Disputes Involving Colleagues

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

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

2.05 Consultation

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

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

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

2.06 Sexual Relationships

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

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

2.07 Sexual Harassment

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

written, electronic, or physical contact of a sexual nature.

2.08 Impairment of Colleagues

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

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

2.09 Incompetence of Colleagues

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

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

2.10 Unethical Conduct of Colleagues

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

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

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

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

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

3. Social Workers' Ethical Responsibilities in Practice Settings

NASW Code of Ethics: Ethical Standards

3.01 Supervision and Consultation

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

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

(c) Social workers should not engage in any dual or multiple relationships with supervisees in which there is a risk of exploitation of or potential harm to the supervisee, including dual relationships that may arise while using social networking sites or other electronic media.

(d) Social workers who provide supervision should evaluate supervisees' performance in a manner

that is fair and respectful.

3.02 Education and Training

(a) Social workers who function as educators, field instructors for students, or trainers should provide instruction only within their areas of knowledge and competence and should provide instruction based on the most current information and knowledge available in the profession.

(b) Social workers who function as educators or field instructors for students should evaluate students' performance in a manner that is fair and respectful.

(c) Social workers who function as educators or field instructors for students should take reasonable steps to ensure that clients are routinely informed when services are being provided by students.

(d) Social workers who function as educators or field instructors for students should not engage in any dual or multiple relationships with students in which there is a risk of exploitation or potential harm to the student, including dual relationships that may arise while using social networking sites or other electronic media. Social work educators and field instructors are responsible for setting clear, appropriate, and culturally sensitive boundaries.

3.03 Performance Evaluation

Social workers who have responsibility for evaluating the performance of others should fulfill such responsibility in a fair and considerate manner and on the basis of clearly stated criteria.

3.04 Client Records

(a) Social workers should take reasonable steps to ensure that documentation in electronic and paper records is accurate and reflects the services provided.

(b) Social workers should include sufficient and timely documentation in records to facilitate the delivery of services and to ensure continuity of services provided to clients in the future.

(c) Social workers' documentation should protect clients' privacy to the extent that is possible and appropriate and should include only information that is directly relevant to the delivery of services.

(d) Social workers should store records following the termination of services to ensure reasonable future access. Records should be maintained for the number of years required by relevant laws, agency policies, and contracts.

3.05 Billing

Social workers should establish and maintain billing practices that accurately reflect the nature and extent of services provided and that identify who provided the service in the practice setting.

3.06 Client Transfer

(a) When an individual who is receiving services from another agency or colleague contacts a social worker for services, the social worker should carefully consider the client's needs before agreeing to provide services. To minimize possible confusion and conflict, social workers should discuss with potential clients the nature of the clients' current relationship with other service providers and the implications, including possible benefits or risks, of entering into a relationship with a new service provider.

(b) If a new client has been served by another agency or colleague, social workers should discuss with the client whether consultation with the previous service provider is in the client's best interest.

3.07 Administration

(a) Social work administrators should advocate within and outside their agencies for adequate resources to meet clients' needs.

(b) Social workers should advocate for resource allocation procedures that are open and fair. When not all clients' needs can be met, an allocation procedure should be developed that is nondiscriminatory and based on appropriate and consistently applied principles.

(c) Social workers who are administrators should take reasonable steps to ensure that adequate agency or organizational resources are available to provide appropriate staff supervision.

(d) Social work administrators should take reasonable steps to ensure that the working environment for which they are responsible is consistent with and encourages compliance with the NASW Code

of Ethics. Social work administrators should take reasonable steps to eliminate any conditions in their organizations that violate, interfere with, or discourage compliance with the Code.

3.08 Continuing Education and Staff Development

Social work administrators and supervisors should take reasonable steps to provide or arrange for continuing education and staff development for all staff for whom they are responsible. Continuing education and staff development should address current knowledge and emerging developments related to social work practice and ethics.

3.09 Commitments to Employers

(a) Social workers generally should adhere to commitments made to employers and employing organizations.

(b) Social workers should work to improve employing agencies' policies and procedures and the efficiency and effectiveness of their services.

(c) Social workers should take reasonable steps to ensure that employers are aware of social workers' ethical obligations as set forth in the NASW Code of Ethics and of the implications of those obligations for social work practice.

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

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

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

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

3.10 Labor–Management Disputes

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

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

4. Social Workers' Ethical Responsibilities as Professionals

NASW Code of Ethics: Ethical Standards

4.01 Competence

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

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

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

4.02 Discrimination

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

4.03 Private Conduct

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

4.04 Dishonesty, Fraud, and Deception

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

4.05 Impairment

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

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

4.06 Misrepresentation

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

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

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

4.07 Solicitations

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

4.08 Acknowledging Credit

(a) Social workers should take responsibility and credit, including authorship credit, only for work they have actually performed and to which they have contributed. (b) Social workers should honestly acknowledge the work of, and the contributions made by others.

5. Social Workers' Ethical Responsibilities to the Social Work Profession

NASW Code of Ethics: Ethical Standards

5.01 Integrity of the Profession

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

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

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

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

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

5.02 Evaluation and Research

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

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

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

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

(e) Social workers engaged in evaluation or research should obtain voluntary and written informed consent from participants, when appropriate, without any implied or actual deprivation or penalty for refusal to participate; without undue inducement to participate; and with due regard for participants' well-being, privacy, and dignity. Informed consent should include information about the nature, extent, and duration of the participation requested and disclosure of the risks and benefits of participation in the research.

(f) When using electronic technology to facilitate evaluation or research, social workers should ensure that participants provide informed consent for the use of such technology. Social workers should assess whether participants are able to use the technology and, when appropriate, offer reasonable alternatives to participate in the evaluation or research.

(g) When evaluation or research participants are incapable of giving informed consent, social workers should provide an appropriate explanation to the participants, obtain the participants' assent to the extent they are able, and obtain written consent from an appropriate proxy.

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

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

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

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

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

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

(n) Social workers who report evaluation and research results should protect participants'

confidentiality by omitting identifying information unless proper consent has been obtained authorizing disclosure.

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

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

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

6. Social Workers' Ethical Responsibilities to the Broader Society

NASW Code of Ethics: Ethical Standards

6.01 Social Welfare

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

6.02 Public Participation

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

6.03 Public Emergencies

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

6.04 Social and Political Action

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

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

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

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

Appendix B Grievance

GRIEVANCE TRACKING FORM

Student Appeal Checklist

This form MUST accompany any/all items submitted/reviewed during any appeal process within the MSW Program

Student Name: _____

Degree Program: _____ Course Number/Instructor: _____

Academic or Professional Behavior Issue: _____

Program Faculty Decision in Question

Grade Dispute	D
Student Placed on Academic Probation	D
Student Dismissed from Program	D
Other:	D

Notes: _____

Appeal to the Course Professor/Instructor (if applicable) Date Initiated:

Outcome: _____

Faculty/Instr Signature: _____ Date: _____

Appeal to the Program Director Date Initiated:

Outcome: _____

Director/Chair Signature: _____ Date: _____

Appeal to the Program Faculty Committee Date Initiated:

Outcome: _____

Committee Signature: _____ Date: _____

Appeal to the SHPN Dean Date Initiated:

Outcome: _____

Dean Signature: _____ Date: _____

Name	Email	Office	Phone Number
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