

Stephen F. Austin State University

School of Social Work



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Making a Concern for People a Career
BSW Program Student Handbook
2011-2012

Stephen F. Austin State University
School of Social Work
BSW Program

Acknowledgment of Receipt of
BSW Student Handbook

I hereby acknowledge that I have been informed that the BSW Program Student Handbook is available online and that it is my responsibility to obtain a copy of the handbook and review the policies and procedures contained therein.

I agree to comply with all policies and procedures mandated by the BSW Program, the School of Social Work and Stephen F. Austin State University.

Signature of Student

Date

Signature of Advisor

Date

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Introduction to the School of Social Work

Welcome to Stephen F. Austin State University and the School of Social Work. The academic program of study you have chosen is one that leads to the preparation of generalist social workers for entry-level professional practice. Generalist Practice involves the social worker in professional helping relationships with individuals, families, groups, organizations and communities. This practice perspective serves diverse client systems and is not confined by a narrow cadre of theories; rather it is versatile enough to allow the client's situation to determine the practice approach. Generalist Practice employs a problem solving framework and a broad knowledge, value and skill base which demands ethical practice and ongoing self-assessment. Upon completion of the requirements for the Bachelor of Social Work degree, you will have demonstrated the knowledge, skills, values, and abilities to work with individuals, families, groups, organizations, and communities in a variety of settings in order to help people solve problems.

Social work is a rewarding profession. Every day we receive reports from the media about varied problems that confront our society. Social workers are in the forefront of efforts to change problems such as child abuse, mental illness, homelessness, and juvenile crime. Social workers make a difference in the lives of many people each day by helping them resolve problems that confront them. The School of Social Work at Stephen F. Austin State University has a commitment to excellence in the preparation of students as professional social workers. The BSW Program in Social Work has been accredited by the Council on Social Work Education since 1979. We also take pride in the accomplishments of our graduates.

In the study of social work you will develop knowledge about human behavior and the social environment, social welfare policy and legislation, social research, and social work practice methods. You will also acquire knowledge of human diversity related to relationships in a multicultural context. With this knowledge, you will learn, understand and practice within the ethical base for social work. Your educational experience will culminate with an in-depth, educationally directed field practice in a social welfare agency that will allow you an opportunity to apply knowledge and social work practice skills.

This student handbook is intended to help guide you through your college experience as a social work major. The handbook represents a collection of information, policies, procedures, sources and answers to frequently asked questions. It is our desire that information in this handbook will make your educational experience easier. If you have questions, we encourage you to contact the social work office.

Mission of the School of Social Work

The mission of the School of Social Work at Stephen F. Austin State University is to prepare competent and effective professional social workers committed to generalist and advanced generalist practice and able to respond to the needs of rural communities and to the challenges faced by people with rural lifestyles. The School is committed to providing leadership for the region, particularly in identifying and addressing community needs and issues, including those related to the alleviation of poverty and oppression within the context of rurality, cultural diversity, and social and economic justice. In support of its educational endeavors, the school is dedicated to excellence in teaching, scholarship, life long learning, and community service.

BSW Mission Statement

The mission of the BSW program at Stephen F. Austin State University (SFASU) is to prepare competent and effective professional social workers committed to generalist practice with the ability to respond to the needs of individuals, families, groups, communities and organizations. The program is committed to providing leadership for the region and globally, particularly in identifying and addressing community needs and issues, including those related to the alleviation of poverty and oppression, cultural diversity and social and economic justice. In support of its educational endeavors, the program is dedicated to excellence in teaching, research, scholarship, life long learning and community service.

Accreditation

The Baccalaureate Social Work Program at Stephen F. Austin State University is accredited by the Council on Social Work Education.

Is Social Work the Profession for Me?

Social workers are required by virtue of their Code of Ethics and Licensure Requirements to maintain a high moral character. The social work program acknowledges that human beings make mistakes, but upon committing to the social work profession, modeling high ethical and moral character is important. Individuals having either

- a conviction of a Felony or Misdemeanor within the past two years, or
- legal concerns which may be discovered in a Criminal Background Check, may experience considerable difficulty in obtaining a license to practice social work and may wish to consider another major.

In choosing social work as a major, a student is making a commitment to the principles of the NASW Code of Ethics. Clear violations of the code may be grounds for termination from the social work program.

Overview of the BSW Program

The BSW program at Stephen F. Austin State University is accredited by the Council on Social Work Education. The program prepares graduates for generalist practice in entry level social work practice as well as continuing professional development. The BSW graduate has a basic knowledge of theory and the ability to engage in thought with conceptual complexity. Possession of the common body of the profession's knowledge, values and skills allows graduates to apply their generalist practice abilities in working with individuals, families, groups, organizations, and communities in a variety of agency settings.

BSW Program Goals

The BSW program has six distinct *program goals* that directly support the school mission. The goals are as follows:

1. Prepare social work graduates who will be able to demonstrate integration of social work knowledge, values, and skills into generalist practice with individuals, families, groups, organizations, and communities.
2. Produce a curriculum that builds on a liberal arts perspective that prepares graduates to be capable of critical thinking and ethical social work practice with systems of all sizes.
3. Prepare social work graduates who identify with the social work profession and are lifelong learners.
4. Prepare social work graduates who will be able to evaluate practice, understand practice issues related to diversity including rural lifestyles, advocate for social and economic change, and recognize the global context of social work practice.
5. Prepare social work graduates committed to the enhancement of human well-being and to the alleviation of discrimination, poverty and oppression.
6. Maintain reciprocal relationships with social work practitioners, groups, communities and organizations.

BSW Program Learning Outcomes

1. Identify as a professional social worker and conduct oneself accordingly.
2. Apply social work ethical principles to guide professional practice.
3. Apply critical thinking to inform and communicate professional judgments.
4. Engage diversity and difference in practice.
5. Advance human rights and social and economic justice.
6. Engage in research-informed practice and practice-informed research.
7. Apply knowledge of human behavior and the social environment.
8. Engage in policy practice to advance social and economic well-being and to deliver effective social work services.
9. Respond to context that shape practice.
10. Engage, assess, intervene, and evaluate with individuals, families, groups, organizations, and communities.

BSW Program Student learning Outcomes: (SLOs)

Upon the completion of this course, students will be able to:

1. Demonstrate professional demeanor in behavior, appearance, and communication in a social service agency (PB: EP 2.1.1).
2. Practice personal reflection and self-correction to assure continual professional development (PB: EP 2.1.1).
3. Recognize and communicate their understanding of the importance of difference in shaping life experiences (PB: EP 2.1.4).

4. Demonstrate the ability to use the National Association of Social Workers Code of Ethics in making ethical decisions in practice with individuals, families, groups, communities and organizations (PB: EP 2.1.2).
5. Gain sufficient self-awareness to eliminate the influence of personal biases and values in working with diverse groups (PB: EP 2.1.4).
6. Demonstrate the ability to distinguish, appraise, and integrate multiple sources of knowledge, including research-based knowledge, and practice wisdom (PB: EP 2.1.3)
7. Demonstrate the ability to use supervision and consultation to strengthen knowledge of generalist practice (PB: EP 2.1.1).
8. Recognize and manage personal values in a way that allows professional values to guide practice (PB: EP 2.1.2).
9. Begin to understand the forms and mechanisms of oppression and discrimination when working with individuals, families, groups, organizations, and communities (PB: EP 2.1.5).
10. Continuously discover, appraise, and attend to changing locales, populations, scientific and technological developments, and emerging societal trends to provide relevant services (PB: EP 2.1.9).
11. Demonstrate the ability to attend to professional roles and boundaries in an agency setting (PB: EP 2.1.1)
12. The student analyzes models of assessment, prevention, intervention, and evaluation. (PB EP 2.1.3.2)
13. The student demonstrates effective oral and written communication in working with, and colleagues. (PB EP 2.1.3.3)
14. The student recognizes the extent to which a culture's structures and values may oppress, marginalize, alienate, or create or enhance privilege and power. (PB EP 2.1.4.1)
15. The student gains sufficient self-awareness to eliminate the influence of personal biases and values in working with diverse groups. . (PB EP 2.1.4.2)
16. The student recognizes and communicates their understanding of the importance of difference in shaping life experiences. (PB EP 2.1.4.3)
17. The students view themselves as learners and engage those with whom they work as informants. (PB EP 2.1.4.4)
18. The student understands the forms and mechanisms of oppression and discrimination. (PB EP 2.1.5.1)
19. The student advocates for human rights and social and economic justice. (PB EP 2.1.5.2)
20. The student engages in practices that advance social and economic justice. (PB EP 2.1.5.3)
21. The student uses practice experience to inform scientific inquiry. (PB EP 2.1.6.1)
22. The student uses research evidence to inform practice. (PB EP 2.1.6.2)
23. The student utilizes conceptual frameworks to guide the processes of assessment, intervention, and evaluation. (PB EP 2.1.7.1)
24. The student critiques and applies knowledge to understand person and environment.(PB EP 2.1.7.2)
25. The student analyzes, formulates, and advocates for policies that advance social well-being. (PB EP 2.1.8.1)
26. The student collaborates with colleagues and clients for effective policy action. (PB EP 2.1.8.2)
27. The student continuously discovers, appraises, and attends to changing locales, populations, scientific and technological developments, and emerging societal trends to provide relevant services. (PB EP 2.1.9.1)

28. The student provides leadership in promoting sustainable changes in service delivery and practice to improve the quality of social services. (PB EP 2.1.9.2)
29. The student substantively and affectively prepares for action with individuals, families, groups, organizations, and communities. (PB EP 2.1.10(a).1)
30. The student uses empathy and other interpersonal skills. (PB EP 2.1.10(a).2)
31. The student develops a mutually agreed-on focus of work and desired outcomes. (PB EP 2.1.10(a).3)
32. The student collects, organizes, and interprets client data. (PB EP 2.1.10(b).1)
33. The student assesses client strengths and limitations. (PB EP 2.1.10(b).2)
34. The student develops mutually agreed-on intervention goals and objectives. (PB EP 2.1.10(b).3)
35. The student selects appropriate intervention strategies. (PB EP 2.1.10(b).4)
36. The student initiates actions to achieve organizational goals. (PB EP 2.1.10(c).1)
37. The student implements prevention that enhances client capacities. (PB EP 2.1.10(c).2)
38. The student helps clients resolve problems. (PB EP 2.1.10(c).3)
39. The student negotiates, mediates, and advocates for clients. (PB EP 2.1.10(c).4)
40. The student facilitates transitions and endings. (PB EP 2.1.10(c).5)
41. The student critically analyzes, monitors, and evaluates interventions. (PB EP 2.1.10 (d) .1)

Undergraduate Admission Policy

Social Work Pre-Major

Students who want to major in social work are admitted to the School of Social Work as social work pre-majors and remain in the pre-major status until they meet the requirements for full acceptance into the social work program. This policy applies to new freshmen, transfer students, and students changing their major. In order to become a social work major, students must meet the following criteria:

- Have a 2.25 GPA overall in courses taken at SFA.
- Have completed SWK 215, SWK 225, and SWK 300 with a grade of C or higher in each.
- Have completed the Biology requirement with a grade of C or higher.
- Have completed ENG 131 and ENG 132 with a grade of C or higher in each course.
- Have completed the Math requirement.
- Have nine or less hours of Core Curriculum courses to complete.
- Meet all requirements specified by the School for demonstrating ethical behavior.

After completion of all requirements the student must complete the following with their advisor:

1. Application for the Social Work Major
2. Checklist of Requirements
3. Certification of Admission

The Baccalaureate faculty will then review the application and decide upon acceptance into the major. The advisor will notify the student concerning the faculty decision. Provisional acceptance to the major may be made if students appear to have the capacity to be admitted within one semester. Students will be allowed only one semester of provisional acceptance to the major. Students who have not been admitted to the major will not be permitted to file an official degree plan or take upper level social work courses. Students admitted to social work must sign a form indicating their understanding of the criteria to continue in the major. The criteria include the following expectations.

- Maintain a 2.25 overall grade point average at SFA.
- Maintain a C or better in all professional social work courses.
- Demonstrate acceptable standards of professional conduct, personal integrity and emotional stability requisite for professional social work practice.
- Demonstrate effective interpersonal skills necessary for forming professional helping relationships.
- Demonstrate a commitment to the profession of social work
- Demonstrate a commitment of adhering to the codes of ethics for National Association of Social Workers, International Federation of Social workers, and Texas State Board of Social Worker Examiners.

Social Work Major

A bachelor of social work degree requires 120 credit hours. These credit hours include core curriculum requirements, professional social work courses, degree specific requirements, and electives. A minor is not required for students whose have selected social work as their majors.

Transfer Credits

Students who have completed courses at other collegiate institutions may transfer credits under the policies of Stephen F. Austin State University; however, students must complete at least 9 hours of social work practice method courses and 14 hours of field practicum at Stephen F. Austin State University. The Program Director will evaluate transferred social work courses and determine which ones may be accepted as equivalent to required social work courses in the program at Stephen F. Austin. Only social work courses from a BSW program accredited by the Council on Social Work Education will be accepted as equivalent for professional social work courses. The program does not grant social work course credit for life experience or previous work experience. The BSW program is accredited by the Council on Social Work Education (CSWE).

BSW Curriculum

Focus of Curriculum

The BSW program at SFASU prepares students for generalist social work practice, which is defined as follows:

Generalist practice is a practice perspective that serves client systems utilizing an ecological systems approach focusing on persons, families, groups, organizations, and communities. It is not confined by a narrow cadre of theories; rather it is versatile enough to allow problems and situations, as well as strengths, capacities, and resources, to determine the practice approach. Generalist practice employs a problem solving framework and a broad knowledge, value, and skill base which demands ethical practice and on-going self-assessment. Briefly, generalist social work practice:

- Is multi-level to include individuals, families, groups, organizations, and communities
- Is multi-theory, allowing for the free selection of theories as appropriate
- Utilizes a problem identification and solving focus that follows a problem-solving framework
- Utilizes multiple interventions at multiple levels, as appropriate
- Addresses the complexity of individual, family, group, organizational, and community system interactions
- Requires an integration of awareness, competence, and professional response to issues of values, ethics, diversity, culture, social justice, and populations-at-risk

Field Instruction

Field education is Signature Pedagogy for the profession. The intent of field education is to connect the theoretical and conceptual contribution of the classroom with the practical world of the practice setting. It is a basic precept of social work education that the two interrelated components of curriculum—classroom and field—are of equal importance within the curriculum, and each contributes to the development of the requisite competencies of professional practice. Field education is systematically designed, supervised, coordinated, and evaluated based on criteria by which students demonstrate the achievement of program competencies. Field Instruction provides students with the opportunity to be placed in a variety of fields of practice, including mental health, health care, substance abuse, child welfare, criminal justice and school/education. Approximately 80 agency sites are utilized for field instruction in the region. Field Instruction begins the process of applying knowledge, values, and skills obtained in class to practical settings. Two field experiences are built into the curriculum. The first occurs in the sophomore or Junior year and the second comes at the end of the senior year, when all other course work has been completed.

Junior Field Instruction (Pre-Practice)

The beginning Field Instruction, which is SWK 300 requires students to spend a minimum of 85 - 100 clock hours in a social welfare agency. This field experience is designed to introduce students to the agency context of social work practice and to begin the process of socialization into the profession. Field Instruction also requires students to apply concepts learned in class to their practice experiences.

Please see policy related to students placed in community agencies for completion of required field practice course. (Consideration of Criminal History Record of Social Work Students)- Appendices

Field Education Criteria

In order to go to field education, students must meet the following criteria:

- 2.25 cumulative grade point average
- C or better in all professional social work courses
- Demonstrate acceptable standards of professional conduct, personal integrity, and emotional stability .
- requisite for professional social work practice
- Demonstrate effective interpersonal skills necessary for forming professional helping relationships
- Demonstrate a commitment to the profession of Social Work.
- Demonstrate a commitment of adhering to the codes of ethics for National Association of Social Workers and Texas State Board of Social Work Examiners.

Senior Field Instruction

Students are given both practical and educational experience in a variety of field settings. They are required to spend 500 hours in structured, supervised fieldwork, directed by faculty with broad experience and expertise in social work practice. Field Instruction provides students with opportunities to further enhance their learning experiences and develop as a professional in an agency setting. Students who have successfully completed the field component will:

- Be able to apply social work knowledge and skills in a professional social work setting.
- Have completed the transition from student to beginning professional.
- Be able to integrate academic course work into a practice setting.
- Be able to employ social work values and ethics in practice settings.
- More readily identify with the social work profession because of the field experience.

Note: It is the desire of the School of Social Work to assess each student fairly using the same criteria. Therefore, all students must complete the field instruction placement, regardless of previous work experiences. Students may not engage in field instruction in the same agency setting in which they are employed.

Curriculum for Majors

Students are expected to follow the plan outlined in Curriculum for Majors in the selection of classes each semester. If the student adheres to the recommended plan, a degree in social work can be obtained in four years. The social work curriculum makes extensive use of prerequisites and co-requisites in order to enhance the educational experience. Prerequisites help to ensure that students have the appropriate educational preparation to get the maximum benefit from courses. Co-requisites help to ensure that complementary material is taken concurrently. General education courses are typically completed before enrolling for courses from the supportive disciplines and the major. General education courses provide both a general and specific foundation in the liberal arts that enhances the educational experience of the social work major. Freshman level English courses provide a general preparation by helping the student to develop skills in composition, research and critical thinking that apply to all courses in the social work major. Courses such as political science and economics give the students a more specific background to understand and analyze social welfare policy and services. Courses in mathematics help students to develop analytical abilities that are essential for research methods courses. The courses in the social work major build upon this general education knowledge. In addition, social work courses build upon each other. For example, students must know about data collection and assessment in order to develop and implement intervention plans. It is important for students to observe course prerequisites and co-requisites. A full description of each course, its prerequisites and co-requisites may be found in the SFA General Bulletin.

**BSW PROGRAM
COURSE SEQUENCE: CURRICULUM FOR MAJORS
2010-2011**

FRESHMAN YEAR

English 131	3	English 132	3
Political Science 141	3	Political Science 142	3
Human Biology 121,123,238	4	Science	4
Visual and Performing Arts Elective	3	Math 110 or higher	3
Sociology 137	3	Psychology 133	3
Total	16	Total	16
		Total for Academic Year	32

SOPHOMORE YEAR

Philosophy 153,238	3	Economics 231	3
American History 133	3	American History 134	3
Social Work 210	3	Social Work 225	3
Psychology 375	3	Communication 111	3
Social Work 215	3	*Core Curriculum Requirement	3
Total	15	Total	15
		Total for Academic Year	30

JUNIOR YEAR

Social Work 325	3	Social Work 315**	3
Social Work 333	3	Social Work 350	3
Social Work 300	3	Social Work 425	3
Sociology 378	3	Sociology 379	3
Total	12	Elective	3
		Total	15
		Total for Academic Year	30

SENIOR YEAR

Social Work 415**	3	Social Work 470	6
Social Work 450	3	Social Work 480	6
Social Work 455**	3	Social Work 490	2
Elective	3	Total	14
Elective	2	Total for Academic Year	28
Total	14		

***See SFA Core Curriculum Requirements (A-2)**

****Nine Hours of Writing Enhanced Courses**

Advising and Academic Performance

Student Advisory System

Faculty advisement of students is considered essential in the School of Social Work at Stephen F. Austin State University. The personal relationship with a faculty advisor helps each student progress through the program, become socialized into the social work profession, and eventually attain a social work degree. The advising of students is carried out by full-time faculty members.

All pre-social work and social work majors are assigned a faculty advisor. Students are encouraged to take advantage of the availability of an advisor. All faculty maintain regularly scheduled, posted office hours and are also available at other times if a student chooses to make an appointment. The primary duties of the faculty advisor are assessment with the student of aptitude and motivation for a social work career, performance in the discipline, and assistance in selection of areas of course work.

In addition to the assessment of a student's course work, faculty advisors discuss with the student problems that interfere with academic performance or other problems for which the student requests help from a faculty advisor. The faculty advisor helps the student assess the problem and suggests possible resources.

Advisors must meet with each student each semester for course selection. Social work majors should not drop or add any course without discussing changes with their advisor. During the semester that students are enrolled in SWK 325, student should make application to move from the pre-social work major to the major. Following their acceptance into the major they should meet with their advisor to prepare and file an official degree plan. Students may obtain the name of their assigned faculty advisor in the BSW Program office.

Student Performance Review

Grades received for completed course work serve to measure student performance. Grades are given in a course measure level of class participation, personal responsibility for assignments, and level of comprehension and application of material to case situations. Each course syllabus provides a grading scale of points students use in monitoring personal progress throughout the semester.

Field evaluations provide measures of competency in practice situations that are evaluated by faculty and on-site supervisors. The grading scale of points measures level of performance assigned in the learning contract between student, faculty liaison and the agency. Students' ability to integrate social work knowledge, values and skills into practice situations is also evaluated in the field instruction seminar.

Students and assigned faculty advisors periodically review academic status, discussing ways students can improve or enhance academic performance.

Academic Probation and Suspension

Social work students are expected to comply with the university minimum standards of grade point average for hours attempted. Students must achieve a 2.0 grade point average (GPA) on all hours attempted. Students failing to comply with the above standards may be placed on academic probation the first semester after failing to meet the standards. If satisfactory progress is not achieved during the next semester, students may then be suspended. Reinstatement may occur if students have accomplished any of the following:

- Raising the GPA to the minimum university standard.
- Making substantial progress toward the university minimum GPA as determined by the Director of the School of Social Work.
- Returning to the university on probation after one regular semester's absence.

Appeal Process

The primary purpose of the appeal review process is to assist the student who is having problems with the academic or professional expectations and requirements of the program. Most student appeals relate to course grades and prerequisites.

Course Appeal

If the student is requesting a waiver of the required prerequisite, an appeal form obtained in the school office must be completed and submitted to the chair of the Admissions Committee. Requirements for appeal are:

1. To have an overall GPA of 3.0 or above, and
2. To have completed all required course work and electives in the sequence prior to the courses being appealed.

Requests are considered only after registration has ended and it has been determined that there is space available in the class requested. If the above criteria have been met, the appeals request will be reviewed by the social work appeals committee prior to the final day for late registration in the semester in which the course requested is to be taken. A student dissatisfied with the outcome of his/her appeal may then go to the Director of the School of Social Work. If still dissatisfied, the student may appeal to the Dean of Applied Arts and Sciences.

Grade Appeal

Students concerned about a grade received for course work completed must first talk with the professor who assigned the grade. If not satisfied with the response the student then may approach the Baccalaureate Program Director and the Associate Dean of the School of Social Work, in that order.

It is hoped that any appeal will be resolved at the lowest level. However, if the student is unable to resolve the problem at the school or college level, further appeals may be made to the Vice President for Academic Affairs and then the President of Stephen F. Austin State University.

Termination of Students from the Social Work Major for Academic and Professional Performance

Regulation of member professional performance is critical for maintaining the integrity of the social work profession. Students majoring in social work are members of the social work profession and are eligible for membership in professional organizations. Social work students should conduct themselves as professionals and in accordance with the Code of Ethics of the National Association of Social Workers and the Texas State Board of Social Workers Examiners.

The grades that students earn in their social work classes are not only an indication of a student's ability to become a social worker. Occasionally, a student's professional performance or his/her ability to become a social worker or to deliver social work services may be called into question. The program submits its policies and procedures for terminating a student's enrollment in the social work program from reasons of academic and/or professional performance.

Students may be terminated from the social work major for professional performance relating to academic evaluation of a student's suitability for the profession when there is clear evidence of student professional performance that is unacceptable. Examples of student professional performance that may require review include, but are not limited to: violation of the NASW Code of Ethics, impairment due to substance abuse or mental illness, and conviction of a felony.

Termination Procedure

Anyone who has a concern regarding the professional performance of social work students should contact the associate dean of the School of Social Work. Faculty members, community social workers, and social work students have a particular responsibility under the Code of Ethics to bring these concerns forward.

The associate dean of the School of Social Work will collect information from anyone who expresses concerns about the professional performance of social work students. The associate dean will investigate the specific nature of the alleged behavior, the way in which the reporting person was affected by the professional performance, and the sources of information about the alleged professional performance. Anonymous reports will not be accepted.

The associate dean of the School of Social Work will provide the reporting person with information required for filing a complaint about the student's professional performance. A complaint about a student's professional performance must be described in writing. It must:

- (1) clearly identify the student,
- (2) identify the specific professional performance that was problematic,
- (3) specify why this professional performance was inappropriate,
- (4) specify sources of information that support the complaint,
- (5) be filed within one year of the date the complainant became aware of the lack of professional performance, and
- (6) clearly identify the complainant's identity.

Note: A written complaint must be made to the associate dean of the School of Social Work in order to initiate the formal review of the student's professional performance.

The associate dean of the School of Social Work will discuss a report of the professional performance with the student. If a written complaint is filed, the student will be provided with a copy of the complaint within ten working days. The associate dean of the School of Social Work will appoint a committee of no less than three social work faculty members to review the complaint.

The committee will collect information necessary to evaluate the complaint. This will include contacting the complainant, the student, and collecting other relevant information. The student will be given an opportunity to respond to the complaint before the committee.

The student may request help in responding to the complaint. In this case a social worker from the community will be assigned to help with the response. The student may bring an advisor to a review committee meeting. However, the student's advisor may not speak for the student.

The review committee will weigh the information and reach a decision on the validity of the complaint. The committee will make recommendations about appropriate action based on the findings. Recommended actions may include:

- (1) No action.
- (2) Recommendations for corrective action.
- (3) Non-academic probation – student continues in the program with the time limit and conditions of probation specified.
- (4) Non-academic suspension – student may not take any social work courses for a specified time period. Conditions or reinstatement specified.
- (5) Termination from program.

The committee may not make a recommendation for action unless there is sufficient information to support the complaint. Recommendations should focus on correcting problems identified in the complaint.

The review committee will conclude its work within 25 working days from the filing of the complaint, excluding summer. The committee will discuss its findings and the recommendations with the student.

The student may appeal a review committee's recommendation to the associate dean. Appeals should be in writing and should clearly state the reason for the appeal. Appeals should be submitted within ten working days after the student has been notified by the review committee. The first level of appeal is to the dean of the college of Liberal and Applied Arts. The second level of appeal is to the Provost of academic affairs. The third level or appeal is to the president of the university.

This policy applies to the academic review process by the School of Social Work related to student professional performance. Other non-academic policies relating to student discipline at the university level may also apply.

Student Organizations and Student Governance

Student Association of Social Workers (SASW)

The SASW is recognized by the student government organization at SFA as the general membership organization for social work majors. Membership in SASW is open to any pre-social work or social work major, and the group elects its own officers. Dues are charged to active members who may vote on decisions before the group. No student is barred from participation in the activities of the group for nonpayment of dues. The social work association's purpose is to provide students with an opportunity to become involved in both campus and community activities that promote social work values and practices for individuals and groups in the community. It also provides a system of networking among social work students and a liaison with social work faculty and staff. Each year social work association members choose service projects that enhance learning and commitment to the values of social work.

Phi Alpha Honor Society

Phi Alpha Honor Society is a National Honor Society for Social Work students. An Undergraduate student is eligible for membership after meeting local chapter requirements and the following national requirements:

1. Declare social work major
2. Achieved sophomore status
3. Completed 9 semester hours or 12 quarters hours of required social work courses
4. Achieved an overall grade point average of 3.0 (on a 4.0 scale)
5. Achieved a 3.25 grade point average in required social work courses
6. A lifetime membership fee of \$20.00 for each individual member

National Association of Social Workers (NASW)

NASW is a national organization serving the critical and diverse needs of the social work profession. NASW provides a wide variety of services designed to help students achieve full potential as social workers. These services include NASW professional publications, conferences and educational opportunities, networking opportunities, and the annual subscription to the NASW journal SOCIAL WORK. NASW is significant in providing a lobby effort for social workers at the state and national level. Students joining the National Association of Social Workers may do so at a reduced rate. Application forms are available in the School office. Faculty and staff are available to assist students if they have questions. Each year students are encouraged to attend the NASW/Texas Conference. Some students are selected as monitors for the various sessions, thus providing them with further educational opportunities and growth experiences.

The Stephen F. Austin State University Honor Code (The SFA Way)

The Principle of Respect

Lumberjacks command respect and treat others with respect • They are considerate of others and tolerant of differences • They demonstrate respect for those around them by avoiding the use of offensive or profane language • They do not threaten or harm anyone and deal peacefully and civilly with conflict.

The Principle of Caring

Lumberjacks think of the needs of others and seek to improve the quality of life of those around them • They are compassionate, empathic and kind • They respond with humility to those they have helped and freely express gratitude to those who help them • Lumberjacks prepare themselves to become leaders in

their communities and workplaces • They dedicate themselves to excellence in their chosen field of study and to using what they learn in the service of others.

The Principle of Responsibility

Lumberjacks do what is right • They persevere in times of adversity • Through self-control and self-discipline, they strive to do their best • Lumberjacks challenge each other to exceed expectations • They are active learners both inside and outside of the classroom • They are reliable; they do what they say they will do • Lumberjacks hold themselves accountable for their decisions.

The Principle of Unity

Lumberjacks are loyal to their friends, family, university, state and country • Lumberjacks stand together against any adversary • They recognize that though we are very different from one another, we are united by the Lumberjack Spirit. Lumberjacks seek to understand the people and world around them • When one lumberjack fails, all fail • When one lumberjack succeeds, all succeed.

The Principle of Integrity

Lumberjacks have the courage to do what is right, even when it is hard or unpopular • They respond to each situation with steadfast values that are not subject to change based on the actions of others • They seek opportunities to practice effective and ethical leadership • Lumberjacks are honest; they do not deceive, cheat or steal • Lumberjacks stand up for those who cannot stand up for themselves • As lifelong learners, lumberjacks are committed to continuously improving themselves.

Students' Rights and Responsibilities in School Governance

Students' Rights and Responsibilities

Students enrolled in SFA's social work programs have rights and responsibilities to participate in formulating and modifying policies affecting academic and student affairs. The university's and program's student affairs, and policies and procedures specifying student's rights and responsibilities are included in the School's student handbooks and field manuals for both programs and in the SFA Student Handbook located at the website below:

SFA Student Handbook

http://www.sfasu.edu/studentaffairs/documents/2011_Handbook.pdf

<http://www.sfasu.edu/socialwork>

It is the student's responsibility to ensure that all academic requirements are fulfilled and student affairs are managed responsibly. Social work students are expected to read the university's catalog and student handbooks. They are also responsible for following the policies, regulations and procedures set forth. To insure students are aware of the Student Handbooks and their rights, each student signs a form indicating his or her awareness of the ability to access the handbook on the School's website. During their field placement each student must have a Field Manual that includes all policies related to field instruction. To assist students in understanding their academic expectations, many of the academic policies are also located on their course syllabi.

Student Participation

Students in the BSW programs are encouraged to provide input on formulation of policies affecting academic and student affairs in a variety of ways: by membership on School committees; and through input from their student organizations (Student Association of Social Workers and Graduate Association for Student Social Workers). The School also has a Student Advisory Council that allows students to participate in the formulation and modifying of policies affecting academic and student affairs. The Council holds a meeting each semester to seek input from students that will improve the academic environment and services to students. The Council has representatives from each program including the BSW pre-major, BSW major, MSW non-advanced standing and MSW advanced standing.

Another significant opportunity for students' input is serving on School committees. Students from both academic programs are appointed to serve on each committee. Students' input is valuable for improving the explicit and implicit curricula. The School of Social Work encourages students to organize around their interests and concerns, and to participate in policy making at the school level and across the university.

School of Social Work Student Council

The purpose of the student council is to serve as an advisory group to the School of Social Work and provides undergraduate and graduate students an opportunity to participate in the formation and modification of policies affecting academic and student affairs. The School of Social Work Student Council consists of seven (7) representatives. The president of the Student Association of Social Workers (SASW), The president of the Graduate Student Association of Social Workers (AGSSW), The president of the Phi Alpha Society, pre- social work major, social work major, non-advanced standing, and advanced standing graduate students.

These avenues provide the school and students relevant information about the program, its policies, and adequacy of student preparation for internship.

Student Life and Student Conduct

Non-Discrimination Statement

Stephen F. Austin State University and the School of Social Work are committed to the policy of providing equal opportunity for all persons and will not discriminate in admissions, programs, or any other educational functions and services on the basis of sex, disability, age, race, national origin, color, sexual orientation or veteran status.

Disabilities Services

Disability Services is committed to providing equal opportunities in higher education to academically qualified students with disabilities who demonstrate a reasonable expectation of college success. Disabled students attending this university will be integrated as completely as possible into the University community. The university shares responsibility with the student for modifying campus facilities and programs to meet individual need. Students with disabilities at Stephen F. Austin State University can have access to tools and resources that will assist them. For more information about access to tools and resources, students may direct questions to: Disability Services, Stephen F. Austin State University, P.O. Box 6130, Nacogdoches, Texas 75962-6130 or call (409) 468-3004 or go to www.sfasu.edu/disabilityservices/index.htm.

Student Conduct Code (D-34.1)

Original Implementation: January 1998

Last Revision: July 20, 2010

To fulfill its mission, Stephen F. Austin State University reserves the right to sanction and/or exclude those members of its community who are disruptive of the educational process. A student enrolling in the university assumes an obligation to conduct him/herself in a manner compatible with the university's mission as an educational institution. This code shall apply to conduct that occurs on university premises, at university sponsored activities and in electronic communities/instructional sites and to off-campus conduct that adversely affects the university and/or the pursuit of its objectives. This code shall apply to a student's conduct even if the student withdraws from the university while a disciplinary matter is pending. The vice president for university affairs, or their designee, shall determine, on a case-by-case basis, if this code should be applied to conduct occurring off campus or in electronic communities/instructional sites.

Conduct for which students and student organizations are subject to discipline falls into the categories below. Where such conduct also violates federal, state or local law, the student or student organization may be brought before the appropriate criminal and/or civil magistrate for adjudication while at the same time being subject to the disciplinary proceedings of the university. University proceedings may precede any actions taken by non-university authorities. The determinations and any sanctions resulting from university disciplinary proceedings will be independent of any non-university adjudication. The following list of possible acts is either prohibited by federal, state, or municipal law or by university rules and/or regulations.

1. Hazing (also see University Policy D-16, Hazing)

Stephen F. Austin State University is unequivocally opposed to any activity by an organization or individual(s) within the organization that is herein defined as hazing. Hazing is defined as any intentional,

knowing or reckless act occurring on or off-campus by one person alone or acting with others, that endangers the mental or physical health or safety of a currently-enrolled or prospective student for the purpose of new member intake, being initiated into, affiliating with, holding office in, or maintaining membership in that organization.

Hazing acts include but are not limited to:

- a. any type of physical brutality such as whipping, beating, striking, branding, electronic shocking, placing a harmful substance on the body, or similar activity;
- b. any type of physical activity such as sleep deprivation, exposure to the elements, confinement in a small space, calisthenics or other activity that subjects the student to an unreasonable risk of harm or that adversely affects the mental or physical health or safety of the student;
- c. any activity involving consumption of a food, liquid, alcoholic beverage, liquor, drug or substance which subjects the student to unreasonable risk of harm or that adversely affects the mental health of the student;
- d. any activity that intimidates or threatens the student with ostracism, that subjects the student to extreme mental stress, shame or humiliation or that adversely affects the mental health or dignity of the student or discourages the student from entering or remaining registered at the institution, or that may reasonably be expected to cause a student to leave the organization or the institution rather than to submit to the acts described in this policy;
- e. any activity that induces, causes, or requires the student to perform a duty or task, which involves a violation of the Penal Code.

Any organization and/or any individual involved in any hazing activity will be subject to both university disciplinary sanctions and criminal prosecution. An offense is committed by (a) engaging in hazing; (b) soliciting, encouraging, aiding or directing another engaging in hazing; (c) intentionally, recklessly, or knowingly permitting hazing to occur, or (d) having first-hand knowledge that a specific hazing incident is being planned or has occurred and failing to report said knowledge in writing to the judicial officer.

It is not a defense to prosecution of an offense that the person against whom the hazing was directed consented to or acquiesced in the hazing activity.

Individual penalties relative to criminal prosecution range from a fine of \$2,000 and 180 days in jail for failure to report a hazing incident to a fine of \$10,000 and two years in jail for an incident which causes the death of a student. Further, an organization may be penalized with a fine up to \$10,000 or double the expenses due to the injury, damages or loss.

Penalties relative to university sanctions range from probation to expulsion for any individual committing an offense. Student organizations committing an offense may be placed on university probation and are subject to withdrawal of university recognition.

Sanctioned Student Organizations

In compliance with state law, any student organization found responsible of hazing through regular university disciplinary procedures will be listed for three (3) years in any university publication containing the hazing policy. The three-year publication will begin as soon as an organization's name can be placed in the first available publication containing the policy. A date in parenthesis following an organization's name will indicate the last year the organization's name will be included.

2. Illicit Drugs

(Also see University Policy D-19, Illicit Drugs and Alcohol Abuse)

It is the policy of Stephen F. Austin State University that any unlawful manufacture, possession, use, delivery or sale of any controlled substance or illegal drug, or the delivery or sale of any simulated illegal substance, is strictly prohibited. Moreover, it is the policy of the state of Texas and of this university that this institution will be as free of illegal drugs as it can possibly be. Therefore, in accordance with state law and university policy, any student who is determined, through the regular disciplinary procedures of the university, to have violated this policy will be suspended from the university for no more than two years and no less than the remainder of the current semester. At the discretion of the vice president for university affairs, a student suspended under this policy may, under certain conditions, remain enrolled at the university on disciplinary probation. These conditions can include substance abuse evaluation, treatment, and/or counseling. Any cost for services or treatment not offered as a student service on campus will be the responsibility of the student.

3. Committing any criminal offense or other unlawful act under any federal, state, or municipal law, including, but not limited to: a. arson; b. robbery; c. burglary; d. theft; e. disruptive activity; f. forgery; g. gambling; h. disorderly conduct; i. trespassing; j. possession of stolen property; k. unlawful, or unauthorized use, possession, or storage of firearms or weapons on university property; l. entering or remaining on campus after withdrawal of consent to remain on campus; m. refusing to leave a university building closed to the public; n. possession of drug paraphernalia.
4. Unauthorized use, possession, or storage of explosives, dangerous chemicals or ammunition on university property; or unauthorized use, possession, or storage of weapons on campus or in any campus building (including residence halls). This includes BB/pellet guns, paintball guns, slingshots, bows or other devices meant to fire projectiles.
5. Causing physical harm, or causing reasonable apprehension of physical harm, to any person. This includes, but is not limited to, stalking, terroristic threats, and physical or sexual assaults.
6. Making or causing any false report, warning, or threat of fire, explosion, or other emergency on university property or at university-sponsored activities.
7. Interfering with fire, police or emergency service. This also includes failure to evacuate university facilities or willfully disregarding any emergency or fire alarm signal.

8. Misusing or damaging fire or safety equipment on university property.
9. Interfering with normal university or university-sponsored activities, including, but not limited to, studying, teaching, research, and university administration. Disruptions in classrooms or other instructional areas will be seen as interference with a university activity.
10. Violating the terms of any disciplinary sanction imposed in accordance with these policies.
11. Furnishing false information to the university.
12. Giving false testimony or other fraudulent evidence at any university disciplinary proceeding.
13. Unauthorized alteration or use of any university documents or records.
14. Failing to comply with the directions of a university official, including university police officers and residence hall staff, acting in the performance of their duties.
15. Violating any university policy, rule, or regulation. Such policies, rules, and regulations may include, but not be limited to, the residence hall contract, as well as those policies, rules, and regulations relating to the use of university facilities, handbills and petitions, solicitation, signs, guest speakers, and parades and demonstrations.
16. Interfering with the freedom of expression of others on university property or at university-sponsored activities.
17. Advocating, orally or in writing, the conscious and deliberate violation of any federal, state, or local law. For the purposes of this section, "advocacy" means preparing the group addressed for imminent action and steeling it to such action, as opposed to the abstract espousal of the moral propriety of a course of action.
18. Damaging, defacing, or destroying the property of others on university property or at university-sponsored activities.
19. Damaging, defacing, or destroying university property, including, but not limited to, buildings, statues, monuments, library and teaching materials, memorials, trees, shrubs, grasses, and flowers.
20. Wrongful utilization of university goods, services or information including, but not limited to, unauthorized possession or use of university keys, security codes, long distance phone access codes or calling cards, cable service, testing, proctoring or tutoring services, and sale or use of university property for personal gain.
21. Improper use of student identification card. This includes allowing use of card by another to obtain services such as, but not limited to meals, event admission, and library services. (also see Policy F-27, Student ID Cards)
22. Unauthorized or illegal use, possession or distribution of alcoholic beverages or products on university property or at university-sponsored activities, including, but not limited to, intercollegiate and intramural athletic events on university grounds, in academic and administrative buildings, public intoxication, or any

alcohol-related crime. Housing policies dictate use of alcohol in residence halls and on-campus apartments. (also see University Policy D-19, Illicit Drugs and Alcohol Abuse)

23. Unauthorized use, possession, or storage of fireworks on university property.
24. Unauthorized throwing of any object in or from a university facility.
25. Littering on university property or at university-sponsored activities.
26. Theft, destruction or other abuse of computer facilities and resources, as delineated in university policies including, but not limited to: University Policy D-8.1, Computer & Network Security; University Policy D-42, Digital Millennium Copyright; University Policy D-43, Computing Software Copyright; or University Policy F-40, Acceptable Use of Information.

Examples of prohibited acts in these policies include:

- a. Unauthorized entry into a file or account, to use, read, or change the contents, or for any other purpose.
- b. Unauthorized transfer or copying of a file or software.
- c. Use of another individual's identification and/or password.
- d. Use of computing facilities and resources to interfere with the work of another student, faculty member or university official.
- e. Use of computing facilities and resources to send obscene or threatening messages.
- f. Use of computing facilities and resources to interfere with normal operation of the university computing system.
- g. Use of computing facilities and resources in violation of copyright laws.
- h. Use of computing facilities and resources activities related to personal for-profit ventures unrelated to the educational mission of the university
- i. Violation of any departmental or lab policy.

The unauthorized use of the emergency exit doors of the university shuttle buses. (Use is authorized in an emergency endangering the life and safety of passengers and driver).

Sexual harassment, as defined in University Policy E-46, Discrimination Complaints / Sexual Harassment, sexual assault, sexual abuse or other sexual misconduct.

Selling or distributing course lecture notes, handouts, readers or other information provided by an instructor, or using them for any commercial purpose without the express permission of the instructor.

Violating any rule, regulation, or law for which the university could be penalized including but not limited to fire, safety, or environmental codes.

Disrupting the normal university community living or learning environment to the extent that the rights and/or safety of others are denied.

Cross Reference: Hazing (D-16); Illicit Drugs and Alcohol Abuse (D-19); Student ID Cards (F-27); Computer & Network Security (D-8.1); Digital Millennium Copyright (D-42); Computing Software Copyright (D-43); Acceptable Use of Information (F-40); Discrimination Complaints/Sexual Harassment (E-46); Discipline and Discharge (E-11)

Responsible for Implementation: Vice President for University Affairs

Contact for Revision: Dean of Student Affairs

Forms: None

Discrimination Complaints/Sexual Harassment (E-46)

Original Implementation: September 1990/February 2, 1982

Last Revision: April 22, 2008

1. **Purpose:** To provide a working environment of nondiscrimination, equal employment opportunity, affirmative action, protection from retaliation for members of classes protected by law, and to comply with federal and state equal opportunity employment regulations.
2. **Non-discrimination Policy:** It is the policy of Stephen F. Austin State University not to discriminate against any employee or applicant for employment because of race, color, religion, sex, age, national origin, disability, or disabled veteran status. Unlawful discrimination based on sex includes discrimination defined as sexual harassment. Stephen F. Austin State University is committed to the principles of Equal Employment Opportunity (EEO) law. An employee who violates this policy is subject to disciplinary action up to and including termination.

A supervisor or employee commits unlawful employment practice if the supervisor or employee retaliates or discriminates against a person, who (a) opposes a discriminatory practice, (b) makes or files a complaint alleging employment discrimination, (c) or testifies assists or participates in any manner in an investigation, proceeding or hearing. Any employee who retaliates against another employee who opposes alleged employment discrimination violates the university's policies and procedures and may be subject to disciplinary action up to and including termination. This policy applies to student complaints that might involve peer to peer discrimination/harassment and also student employment discrimination/harassment.

The president or designee will be responsible for overseeing the Discrimination Complaint/Sexual Harassment Policy and procedures and for ensuring compliance with EEO laws. All employment decisions will be based on objective, job related and measurable criteria that can be consistently applied. Human resources or designee will review all employment actions and decisions, to include, but not limited to, recruitment, selection,

promotion, assignment, training, evaluations, discipline, restructuring, workplace accommodations, and compensation to ensure consistency of application. Human resources or designee will annually review all personnel policies and procedures to ensure compliance with EEO laws and present any recommendations for updating to the president. All employment related documents will be maintained in accordance with the university's Texas State Record Retention Schedule.

3. **Definitions:**

1. Unlawful Discrimination: Based upon a variety of statutes, both on the federal and state levels, unlawful discrimination may affect terms and conditions of the employment or the educational setting and is based upon race, color, religion, sex, age, national origin, disability, or disabled veteran status. Applicable statutes include: Title VII of the Civil Rights Act of 1964, Civil Rights Act of 1991, Title IX of the Education Amendments of 1972, Age Discrimination in Employment Act, Americans with Disabilities Act, Section 504 of the Rehabilitation Act, Equal Pay Act, Immigration Reform and Control Act of 1986, and Texas Labor Code 21.001, et seq. The totality of the facts and circumstances will have a bearing on whether unlawful discrimination has occurred.
2. Sexual Harassment: Unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature, even if carried out under the guise of humor, constitute sexual harassment when:
 3. Submission to or tolerance of such conduct is made either explicitly or implicitly a term or condition of an individual's employment or education; or
 4. Submission to or rejection of such conduct by an individual is used as the basis for academic or employment decisions (including admissions and hiring) affecting that individual; or
 5. Such conduct has the purpose or effect of substantially interfering with an individual's academic or professional performance or creating an intimidating, hostile or offensive employment, educational or living environment The university will not tolerate sexual harassment of any employee or student by another employee, supervisor, or other person with whom an employee or student may have contact with as part of his or her duties. The totality of facts and circumstances in any given situation will have a bearing upon whether unlawful discrimination or sexual harassment has occurred.
4. **Required Equal Employment Opportunity (EEO) Training**: The University is required by the Texas Labor Code 21.010 to provide training to each new employee on policies regarding discrimination and harassment no later than 30 days after the date of hire. In addition, supplemental training is required every two years. All employees will receive a copy of the university's Discrimination Complaint/Sexual Harassment Policy and procedures within 30 days of employment. A signed statement verifying attendance is required to be maintained in the employee's personnel file.

5. **Management and Supervisory Responsibilities:** Vice presidents, deans, directors and department chairs shall take appropriate steps to disseminate this policy statement and to inform employees and students of procedures for lodging complaints. Vice presidents, deans, directors, and department chairs are required and students are urged to notify the director of human resources, ADA coordinator or the appropriate dean, director, or department chair for the area involved when they learn of an instance of unlawful discrimination or sexual harassment.
6. **Employee Responsibilities and Student Responsibilities:** While not required, all employees are urged to contact the director of human resources or the appropriate dean, director, or department chair for the area involved when they learn of an instance of employee related unlawful discrimination or sexual harassment. Students are urged to contact the director of human resources, ADA coordinator or the appropriate dean, director, or department chair for the area involved regarding employee related unlawful discrimination or sexual harassment. Student to student infractions should be reported to the Judicial Office.
7. **Complaint Procedure:** Employees may report a discrimination or sexual harassment complaint without fear of retaliation. All university employees are responsible for immediately reporting discrimination or sexual harassment complaints to the director of human resources, or ADA coordinator (as applicable), or may additionally be reported to a vice president, dean, director or department chair for the area involved. Student to student complaints should be reported to the judicial officer, or the ADA coordinator (if applicable).

Complaints should be filed as soon as possible after any incident, but no later than 180 days from the incident involving unlawful discrimination or sexual harassment.

Complaints must be made in writing and signed by the individual submitting the complaint. While investigators will attempt to maintain as much confidentiality as possible, complete anonymity may give way to the university's obligation to investigate and take appropriate action. Those complaints that are received verbally, but not in writing should still be communicated to the Director of Human Resources for possible informal investigation.

If a pattern of harassment appears to exist but no complainant files charges, the university may file a third-party charge against an individual. Such charges will be handled with as much care and control as any other complaint so as to avoid acting on rumor or unjustified accusation.

8. **Investigative Process:**

1. Employee Related Complaints Once a complaint has been brought to the attention of a supervisor, department chair, or other individual in a management level position, that person must report the complaint to the director of human resources as soon as possible. Every attempt should be made to keep the information confidential and restricted to only those who have an absolute need to know. As there may be more than one complainant in an unlawful discrimination or sexual harassment case, the term "complainant" as used herein shall refer to one or more complainants.

The dean or director (or other appropriate administrator) for the area involved will normally begin the investigation of the charges within 10 working days from when it was received, not as a representative of the complainant, but as an impartial party. If the director is the direct supervisor of the accused, the vice president will assign an alternative director from within their division so the investigator is not investigating his or her own department. The investigation shall normally be conducted within 45 working days thereafter the letter of finding will be forwarded to the director of human resources and the general counsel at the end of the investigation. Case complexity will vary and the termination of the investigation will depend on case circumstances; however, the investigation will commence within the designated time and will conclude under normal circumstances within 45 working days. It is incumbent upon the investigating official to document a reasonable justification for extending an investigation beyond 45 working days. Investigation of a complaint normally will include conferring with the parties involved and may proceed as necessary with examination of relevant documentation and interviews with other employees or students. Discretion should be exercised in determining which witnesses are indeed necessary to the investigation. The dean or director conducting the investigation may also consult with appropriate management personnel, including the director of human resources, the ADA coordinator, and the general counsel for advice and guidance as applicable. After investigating the allegations, the dean or director will meet with the accused employee; provide the accused with the allegations and an opportunity to respond to the allegations. The investigator is responsible for responding to each allegation that the complainant has made. This response should be in the form of a memo describing the investigator's findings and conclusions. The memo summary should include a brief overview of the investigative process including the categories and numbers of individuals interviewed (excluding names), timelines, a summary of each allegation, a summary of the findings by the investigator, and a summary of the investigator's conclusions and recommendations. This memo should be addressed to both the complainant and the accused with copies provided to the appropriate vice president, the general counsel, and the director of human resources. If the complainant or the accused are not satisfied with the results of the investigation as presented in the memo from the investigator, they may appeal in writing to the appropriate vice president within 30 days of the date of the memo.

If the complaint cannot be resolved to the satisfaction of all parties, the dean or director, working with the director of human resources and the general counsel, will make a recommendation, normally within 20 days of receipt of the complaint to the appropriate vice president as to whether any disciplinary action should be taken. A summary of the case will be provided to the vice president. Recommendations of the dean or director to the vice president may include dismissing of the charges; warning, suspension or termination of the accused; allowing the parties to sign a written statement of agreement resolving the differences between them; counseling; or other appropriate disciplinary action. A general status report of the investigation should be provided to the complainant and the accused upon completion of this investigative phase.

2. Student to Student Complaints:

The judicial officer shall investigate student to student complaints and follow the timeframes described in the preceding guidelines for employees. If student discipline is recommended, the Rules of Procedure

in Student Disciplinary Matters will guide the proceedings. Said rules are located on the SFA Web Page for student policies and procedures or may be obtained from the Office of Student Affairs. Informal and formal disposition procedures are outlined within the policy; and, it contains full due process procedures.

9. **Review by the Appropriate Vice President for Employee Related Complaints:**

After the vice president has offered to meet with the accused and if necessary, to meet with the complainant and witnesses, he/she will accept, modify or reject the recommendation of the dean or director. If the vice president concludes that the charges are serious enough to require termination or suspension, the faculty member or staff member may be placed on a leave of absence with pay, pending a hearing by the review board and action by the president.

The vice president's review should generally be completed within 10 days from receipt of the matter, unless additional time is required in fairness to the parties. A general status report should be forwarded to the complainant and the accused at the conclusion of the vice president's review.

10. **Review by the Employee Discrimination Complaint Review Board:**

If the decision of the vice president is not satisfactory to either party (complainant or accused), that individual(s) has 5 days in which to request a formal hearing of the Discrimination complaint review board ("review board"). The request must be put in writing to the vice president issuing the decision.

The review board of three individuals will be selected from a panel of 20 pre-selected faculty members and 20 pre-selected staff members to be appointed by the president. If the accused is a faculty member, the review board will be composed of at least two faculty members. If the accused is a staff member, the review board will be composed of at least two staff members. The complainant will select one member and the accused will select one member from the applicable panel. The two selected members will choose a third person from the panel. None of these individual review board members shall be from the department of the accused or the complainant (if applicable). These three individuals will comprise the review board and will elect a chair from among themselves. The university president may remove any selected review board member if substantial proof of bias exists.

The chair of the review committee is responsible for coordinating the hearing. The complainant, the accused, and the university all have the right to be advised by counsel, but lawyers will not be allowed to conduct or participate in the hearing. The day prior to the scheduled review committee hearing, each side shall submit a list of its witnesses and copies of its documentary evidence to the chair. A list of witnesses and a summary list of the evidence will be provided to each side. The rest of the review committee will not receive the material until the time of the hearing. All materials presented must be maintained in a confidential manner by all parties involved.

The dean or director who conducted the investigation will apprise the review board of the charges and will normally present all relevant evidence. Both parties will have an opportunity to respond to the charges and present evidence. Each party may make a 5 minute opening statement prior to presentation of the evidence.

The burden will be on the complainant to prove by the greater weight of the credible evidence that the accused has committed an act of sexual harassment and/or unlawful discrimination. Cross examination of the witnesses is allowed by all parties. Each party may make a 5 minute closing statement.

The chair of the review board will conduct a fair hearing before the complainant and the accused and shall allow relevant witnesses and evidence from both parties. The hearing shall be closed to the public. The general counsel may and/or the director of human resources may be consulted in procedural matters of the review board and may be present at meetings. All information presented in the hearing is confidential and restricted to only those who have an absolute need to know.

The review board will normally have 5 days after the completion of the hearing to summarize its findings and make a written recommendation to the president.

11. **Review by the President for Employee Related Complaints:**

The president may accept, reject, or modify the decision of the review board and will have access to all evidence, both parties, and witnesses as deemed appropriate. In all instances except where a faculty member's tenure is revoked or a faculty member is being terminated during the term of their employment, the decision of the president is final. In cases where tenure is being revoked or a faculty member is being terminated during the term of employment, the case will be forwarded to the Board of Regents for a final determination. Pending action by the Board of Regents, the faculty or staff member may be suspended without pay and removed from the university or assigned to other duties with pay at the president's discretion. Final disposition of the case will be communicated to the accused employee and the complainant.

12. **Employee Sanctions:**

1. University imposed: University sanctions for violations of this policy may include any disciplinary action, up to and including termination of employment for faculty or staff. Such activities may be viewed as constituting moral turpitude or substantial neglect of academic responsibilities under the Faculty Handbook and a major work rule violation under the Staff Discipline and Discharge Policy.
2. Civil: Unlawful discrimination and sexual harassment are illegal under state and federal law. Official governmental investigations by the Equal Employment Opportunity Commission, the Texas Commission on Human Rights, and/or the Office of Civil Rights of the Department of Education may result in civil lawsuits against any person guilty of unlawful discrimination or sexual harassment.
3. Criminal: Sexual harassment by a public servant is a criminal offense under 39.02 of the Texas Penal Code. Depending on the severity of the acts, sexual harassment may also specifically include indecent exposure, public lewdness, assault, or sexual assault under Chapter 21 and 22 of the Texas Penal Code.
4. False charges may result in disciplinary action against the complainant by the university or civil charges against the complainant by the accused. An unsubstantiated charge is not considered "false" unless it is found to be made with the knowledge of it being false.

13. **Student Sanctions:** Disciplinary action for student to student related complaints may range from sensitivity counseling to suspension or dismissal. False charges may also result in disciplinary action. An unsubstantiated charge is not considered "false" unless it is found to be made with knowledge of it being false.
14. The dean/director (or other appropriate administrator) who investigated the complaint will be responsible for monitoring the circumstances surrounding the complaint to insure the situation has been remedied.
15. The human resources director or designee will be responsible for maintaining a log of all formal complaints and the results of such complaints.

Cross Reference: Faculty Handbook, Non-Academic Employee Handbook; 42 U.S.C. 2000e; 42 U.S.C. 1981; 20 U.S.C. 1681-1688; 42 U.S.C. 12101; 29 U.S.C. 621 et seq.; 29 U.S.C. 794 et seq.; 29 U.S.C. 206(d); 8 U.S.C. 1101; Texas Labor Code Sec. 21.101 et seq.; Texas Penal Code, Sec. 39.02; Pub. L. 88-352 (Title VII); Pub. L. 102-166

Responsible for Implementation: President

Contact for Revision: Director of Human Resources and General Counsel

Forms: None

Hazing (D-16)

Original Implementation: September, 1987

Last Revision: July 15, 2008

Stephen F. Austin State University is unequivocally opposed to any activity by an organization or individual(s) within the organization that is herein defined as hazing.

Definitions

Hazing: Any intentional, knowing or reckless act occurring on or off campus by one person alone or acting with others, that endangers the mental or physical health or safety of a currently-enrolled or prospective student for the purpose of new member intake, being initiated into, affiliating with, holding office in, or maintaining membership in that organization.

Hazing acts include but are not limited to:

1. any type of physical brutality such as whipping, beating, striking, branding, electronic shocking, placing a harmful substance on the body, or similar activity;
2. any type of physical activity such as sleep deprivation, exposure to the elements, confinement in a small space, calisthenics or other activity that subjects the student to an unreasonable risk of harm or that adversely affects the mental or physical health or safety of the student;

3. any activity involving consumption of a food, liquid, alcoholic beverage, liquor, drug or other substance that subjects the student to an unreasonable risk of harm or that adversely affects the mental or physical health of the student;
4. any activity that intimidates or threatens the student with ostracism, that subjects the student to extreme mental stress, shame, humiliation, that adversely affects the mental health or dignity of the student or discourages the student from entering or remaining registered at the institution, or that may reasonably be expected to cause a student to leave the organization or the institution rather than submit to the acts described in this policy;
5. any activity that induces, causes, or requires the student to perform a duty or task which involves a violation of the Penal Code.

Committing an Offense: The organization and any individual involved in hazing commits an offense by:

1. engaging in hazing;
2. soliciting, encouraging, aiding or directing another engaging in hazing;
3. intentionally, recklessly or knowingly permitting hazing to occur;
4. having first-hand knowledge that a specific hazing incident is being planned or has occurred and failing to report said knowledge in writing to the judicial officer.

Organization Hazing Offense: An organization commits an offense if the organization condones or encourages hazing or if an officer or any combination of members, pledges, or alumni of the organization commits or assists in the commission of hazing.

Consent: It is not a defense to prosecution of an offense that the person against whom the hazing was directed consented to or acquiesced in the hazing activity.

Penalties - University

Individual: Each individual committing an offense is subject to university penalties ranging from probation to expulsion.

Organization: Student organizations committing an offense may be placed on university probation and are subject to withdrawal of university recognition.

Penalties - Criminal

Individual: Penalties relative to criminal prosecution range from a fine of \$2,000 and/or 180 days in jail for failure to report a hazing incident to a fine of \$10,000 and two years in jail for an incident which causes the death of a student.

Organization: The student organization may be penalized with a fine of up to \$10,000 or double the expenses involved due to the injury, damages or loss.

Notice of Policy

To General Campus Community: This policy shall be published in the General Bulletin, on the SFASU Website, and in the Schedule of Classes so as to cause all students to be aware of the provisions of this policy.

Of Offenders: A list of organizations that have been disciplined for hazing or convicted for hazing on or off campus during the previous three years shall be included each time this policy is published. The three-year publication will begin as soon as an organization's name can be placed in the first available printing of one of the above named publications. A date in parenthesis following an organization's name will indicate the last year the organization will be included.

Cross Reference: V.T.C.A., Education Code, secs. 37.151 to 37.157; V.T.C.A., Education Code, secs. 51.936

Responsible for Implementation: Vice President for University Affairs

Contact for Revision: Dean of Student Affairs

Forms: None

Ethics and Licensure

NASW Code of Ethics

NASW Code of Ethics 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 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 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.

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

Purpose of the NASW Code of Ethics

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

The NASW Code of Ethics serves six purposes:

- The Code identifies core values on which social work's mission is based.
- The Code summarizes broad ethical principles that reflect the profession's core values and establishes a set of specific ethical standards that should be used to guide social work practice.
- The Code is designed to help social workers identify relevant considerations when professional obligations conflict or ethical uncertainties arise.
- The Code provides ethical standards to which the general public can hold the social work profession accountable.
- The Code socializes practitioners new to the field to social work's mission, values, ethical principles, and ethical standards.
- The Code articulates standards that the social work profession itself can use to assess whether social workers have engaged in unethical conduct. NASW has formal procedures to adjudicate ethics complaints

filed against its members. In subscribing to this Code, social workers are required to cooperate in its implementation, participate in NASW adjudication proceedings, and abide by any NASW disciplinary rulings or sanctions based on it.

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

Further, the NASW Code of Ethics does not specify which values, principles, and standards are most important and ought to outweigh others in instances when they conflict. Reasonable differences of opinion can and do exist among social workers with respect to the ways in which values, ethical principles, and ethical standards should be 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. There are many instances in social work where simple answers are not available to resolve complex ethical issues. Social workers should take into consideration all the values, principles, and standards in this Code that are relevant to any situation in which ethical judgment is warranted. Social workers' decisions and actions should be consistent with the spirit as well as the letter of this Code.

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

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

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

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

Ethical Principles

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

Value: Service

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

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

Value: Social Justice

Ethical Principle: Social workers challenge social injustice.

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

Value: Dignity and Worth of the Person

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

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

1. Social Worker's Ethical Responsibilities to Clients

1.01 Commitment to Clients

- Social workers' primary responsibilities 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 the clients' level of understanding. In such instances social workers should seek to ensure that the third party acts in a manner consistent with clients' wishes and interests. Social workers should take reasonable steps to enhance such clients' ability to give informed consent.
- (d) In instances when clients are receiving services involuntarily, social workers should provide information about the nature and extent of services and about the extents of clients' right to refuse service.
- (e) Social workers who provide services via electronic media (such as computer, telephone, radio, and television) should inform recipients of the limitations and risks associated with such services.
- (f) Social workers should obtain clients' informed consent before audio taping or videotaping clients or permitting observation of services to clients by a third party.

1.04 Competence

- (a) Social workers should provide services and represent themselves as competent only within the boundaries of their education, training, license, certification, consultation received, supervised experience, or other relevant professional experience.
- (b) Social workers should provide services in substantive areas or use intervention techniques or approaches that are new to them only after engaging in appropriate study, training, consultation, and supervision from people who are competent in those interventions or techniques.
- (c) When generally recognized standards do not exist with respect to an emerging area of practice, social workers should exercise careful judgment and take responsible steps (including appropriate education, research, training, consultation, and supervision) to ensure the competence of their work and to protect clients from harm.

1.05 Cultural Competence and Social Diversity

- (a) Social workers should understand culture and its function in human behavior and society, recognizing the strengths that exist in all cultures.
- (b) Social workers should have a knowledge base of their clients' cultures and be able to demonstrate competence in the provision of services that are sensitive to clients' cultures and to differences among people and cultural groups.
- (c) Social workers should obtain education about and seek to understand the nature of social diversity and oppression with respect to race, ethnicity, national origin, color, sex, sexual orientation, age, marital status, political belief, religion, and mental or physical disability.

1.06 Conflicts of Interest

- (a) Social workers should be alert to and avoid conflicts of interest that interfere with the exercise of professional discretion and impartial judgment. Social workers should inform clients when a real or potential conflict of interest arises and take reasonable steps to resolve the issue in a manner that makes the clients' interests primary and protects clients' interests to the greatest extent possible. In some cases, protecting clients' interests may require termination of the professional relationship with proper referral of the client.
- (b) Social workers should not take unfair advantage of any professional relationship or exploit others to further their personal, religious, political, or business interests.
- (c) Social workers should not engage in dual or multiple relationships with clients or former clients in which there is a risk of exploitation or potential harm to the client. In instances when dual or multiple relationships are unavoidable, social workers should take steps to protect clients and are responsible for setting clear, appropriate, and culturally sensitive boundaries. (Dual or multiple relationships occur when social workers relate to clients in more than one relationship, whether professional, social, or business. Dual or multiple relationships can occur simultaneously or consecutively.)
- (d) When social workers provide services to two or more people who have a relationship with each other (for example, couples, family members), social workers should clarify with all parties which individuals will be considered clients and the nature of social workers' professional obligations to the various individuals who are receiving services. Social workers who anticipate a conflict of interest among the individuals receiving services or who anticipate having to perform in potentially conflicting roles (for example, when a social worker is asked to testify in a child custody dispute or divorce proceedings

involving clients) should clarify their role with the parties involved and take appropriate action to minimize any conflict of interest.

1.07 Privacy and Confidentiality

- (a) Social workers should respect clients' right to privacy. Social workers should not solicit private information from clients unless it is essential to providing services or conducting social work evaluation or research. Once private information is shared, standards of confidentiality apply.
- (b) Social workers may disclose confidential information when appropriate with valid consent from a client or a person legally authorized to consent on behalf of a client.
- (c) Social workers should protect the confidentiality of all information obtained in the course of professional service, except for compelling professional reasons. The general expectation that social workers will keep information confidential does not apply when disclosure is necessary to prevent serious, foreseeable, and imminent harm to a client or other identifiable person or when laws or regulations require disclosure without a client's consent. In all instances, social workers should disclose the least amount of confidential information necessary to achieve the desired purpose; only information that is directly relevant to the purpose for which the disclosure is made should be revealed.
- (d) Social workers should inform clients, to the extent possible, about the disclosure of confidential information and the potential consequences, when feasible before the disclosure is made. This applies whether social workers disclose confidential information on the basis of a legal requirement or client consent.
- (e) Social workers should discuss with clients and other interested parties the nature of confidentiality and limitations of clients' right to confidentiality. Social workers should review with client's circumstances where confidential information may be requested and where disclosure of confidential information may be legally required. This discussion should occur as soon as possible in the social worker-client relationship and as needed throughout the course of the relationship.
- (f) When social workers provide counseling services to families, couples, or groups, social workers should seek agreement among the parties involved concerning each individual's right to confidentiality and obligation to preserve the confidentiality of information shared by others. Social workers should inform participants in family, couples, or group counseling that social workers cannot guarantee that all participants will honor such agreements.
- (g) Social workers should inform clients involved in family, couples, marital, or group counseling of the social worker's, employer's, and agency's policy concerning the social worker's disclosure of confidential information among the parties involved in the counseling.
- (h) Social workers should not disclose confidential information to third-party payers unless clients have authorized such
- (i) Social workers should not discuss confidential information in any setting unless privacy can be ensured. Social workers should not discuss confidential information in public or semipublic areas such as hallways, waiting rooms, elevators, and restaurants.
- (j) Social workers should protect the confidentiality of clients during legal proceedings to the extent permitted by law. When a court of law or other legally authorized body orders social workers to disclose confidential or privileged information without a client's consent and such disclosure could cause harm to the client, social workers should request that the court withdraw the order or limit the order as narrowly as possible or maintain the records under seal, unavailable for public inspection.

- (k) Social workers should protect the confidentiality of clients when responding to requests from members of the media.
- (l) Social workers should protect the confidentiality of clients' written and electronic records and other sensitive information. Social workers should take reasonable steps to ensure the clients' records are stored in a secure location and that clients records are not available to others who are not authorized to have access.
- (m) Social workers should take precautions to ensure and maintain the confidentiality of information transmitted to the other parties through the use of computers, electronic mail, facsimile machines, telephones and telephone answering machines, and other electronic or computer technology. Disclosure of identifying information should be avoided whenever possible.
- (n) Social workers should transfer or dispose of clients' records in a manner that protects clients' confidentiality and is consistent with state statues governing records and social work licenser.
- (o) Social workers should take reasonable precautions to protect client confidentiality in the event of the social worker's termination of practice, incapacitation, or death.
- (p) Social workers should not disclose identifying information when discussing clients for teaching or training purposes unless the client has consented to disclosure of confidential information.
- (q) Social workers should not disclose identifying information when discussing clients with consultants unless the client has consented to disclosure of confidential information.
- (r) Social workers should protect the confidentiality of deceased clients consistent with the preceding standards.

1.08 Access to Records

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

1.09 Sexual Relationships

- (a) Social workers should under no circumstances engage in sexual activities or sexual contact with current clients, whether such contact is consensual or forced.
- (b) Social workers should not engage in sexual activities or sexual contact with clients' relatives or other individuals with whom clients maintain a close personal relationship when there is a risk of exploitation or potential harm to the client. Sexual activity or sexual contact with clients' relatives or other individuals with whom clients maintain a personal relationship has the potential to be harmful to the client and may make it difficult for the social 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 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 favors, and other verbal or physical conduct of a sexual nature.

1.12 Derogatory Language

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

1.13 Payment of 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 interests, 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 right of those clients.

1.15 Interruption of Services

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

1.16 Termination of Services

- (a) Social workers should terminate services to clients and professional relationships with them when such services and relationships are no longer required or no longer serve the clients' needs or interests.
- (b) Social workers should take reasonable steps to avoid abandoning clients who are still in need of services. Social workers should withdraw services precipitously only under unusual circumstances, giving careful consideration to all factors in the situation and taking care to minimize possible adverse effects. Social workers should assist in making appropriate arrangements for continuation of services when necessary.
- (c) Social workers in fee-for-services settings may terminate services to clients who are not playing an overdue balance if the financial contractual arrangements have been made clear to the client, if the client does not pose an imminent danger to self or others, and if the clinical and other consequences of the current nonpayment have been addressed and discussed with the client.
- (d) Social workers should not terminate services to pursue a social, financial, or sexual relationship with a client.
- (e) Social workers who anticipate the termination or interruption of services to clients should notify clients promptly and seek the transfer, referral, or continuation of services in relation to the clients' needs and preferences.
- (f) Social workers who are leaving an employment setting should inform clients of appropriate options for the continuation of services and of the benefits and risks of the options.

2. Social Workers' Ethical Responsibilities to Colleagues

2.01 Respect

- (a) Social workers should treat colleagues with respect and should represent accurately and fairly the qualifications, views, and obligations of colleagues.
- (b) Social workers should avoid unwarranted negative criticism of colleagues in communications with clients or with other professionals. Unwarranted negative criticism may include demeaning comments that refer to colleagues' level of competence or to individuals' attributes such as race, ethnicity, national origin, color, sex, sexual orientation, age, marital status, political belief, religion, and mental or physical disability.
- (c) Social workers should cooperate with social work colleagues and with colleagues of other professions when such cooperation serves the 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 Referral for Services

- (a) Social workers should refer clients to other professionals when the other professionals' specialized knowledge or expertise is needed to serve clients fully or when social workers believe that they are not being effective or making reasonable progress with clients and that additional service is required.
- (b) Social workers who refer clients to other professionals should take appropriate steps to facilitate an orderly transfer of responsibility. Social workers who refer clients to other professionals should disclose, with clients' consent, all pertinent information to the new service providers.
- (c) Social workers are prohibited from giving or receiving payment for a referral when no professional service is provided by the referring social worker.

2.07 Sexual Relationships

- (a) Social workers who function as supervisors or educators should not engage in sexual activities or contact with supervisees, students, trainees, or other colleagues over whom they exercise professional authority.
- (b) Social worker should avoid engaging in sexual relationships with colleagues when there is potential for a conflict of interest. Social workers who become involved in, or anticipate becoming involved in, a sexual relationship with a colleague have a duty to transfer professional responsibilities, when necessary, to avoid a conflict of interest.

2.08 Sexual Harassment

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

2.09 Impairment of Colleagues

- (a) Social workers who have direct knowledge of a social work colleague's impairment that due to personal problems, psychosocial distress, substance abuse, or mental health difficulties and that interferes with practice effectiveness should consult with that colleague when feasible and assist the colleague in taking remedial action.
- (b) Social workers who believe that a social work colleague's impairment interferes with practice effectiveness and that the colleague has not taken adequate steps to address the impairment should take action through appropriate channels established by employers, agencies, NASW, licensing and regulatory bodies, and other professional organizations.

2.10 Unethical Conduct of Colleagues

- (a) Social workers should take adequate measures to discourage, prevent, expose, and correct the unethical conduct of colleagues.
- (b) Social workers should be knowledgeable about established policies and procedures for handling concerns about colleagues' unethical behavior. Social workers should be familiar with national, state, and local procedures for handling ethics complaints. These include policies and procedures created by NASW, licensing and regulatory bodies, employers, agencies, and other professional organizations.
- (c) Social workers who believe that a colleague has acted unethically should seek resolution by discussing their concerns with the colleague when feasible and when such discussion is likely to be productive.
- (d) When necessary, social workers who believe that a colleague has acted unethically should take action through appropriate formal channels (such as contacting a state licensing board or regulatory body, and NASW committee on inquiry, or other professional ethics committees).
- (e) Social workers should defend and assist colleagues who are unjustly charged with unethical conduct.

3. Social Workers' Ethical Responsibilities in Practice Settings

3.01 Supervision and Consultation

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

3.02 Education and Training

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

- (b) Social workers who function as educators or field instructors for students should evaluate students' performance in a manner that is fair and respectful.
- (c) Social workers who function as educators or field instructors for students should take reasonable steps to ensure that clients are routinely informed when services are being provided by students.
- (d) Social workers who function as educators or field instructors for students should not engage in any dual or multiple relationships with students in which there is a risk of exploitation or potential harm to the student. Social work educators and field instructors are responsible for setting clear, appropriate, and culturally sensitive boundaries.

3.03 Performance Evaluation

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

3.04 Client Records

- (a) Social workers should take reasonable steps to ensure that documentation in records is accurate and reflects the services provided.
- (b) Social workers should include sufficient and timely documentation in records to facilitate the delivery of services and to ensure continuity of services provide 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 there termination of services to ensure reasonable future access. Records should be maintained for the number of years required by state statues or relevant contracts.

3.05 Billing

- Social workers should establish and maintain billing practices that accurately reflect the mature 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 the 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 and 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 for in the NASW Code of Ethics and of the implications of those obligations for social work practice.
- (d) Social workers should not allow an employing organization's policies, procedures, regulations, or administrative orders to interfere with their ethical practice of social work. Social workers should take reasonable steps to ensure that their employing organizations' practices are consistent with the NASW Code of Ethics.
- (e) Social workers should act to prevent and eliminate discrimination in the employing organization's work assignments and in its employment policies and practices.
- (f) Social workers should accept employment or arrange student field placements only in organizations that exercise fair personnel practices.
- (g) Social workers should be diligent stewards of the resources of their employing organizations, wisely conserving funds where appropriate and never misappropriating funds or using them for unintended purposes.

3.10 Labor-Management Disputes

- (a) Social workers may engage in organized action, including the formation of 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 action.

4. Social Workers' Ethical Responsibilities as Professionals

4.01 Competence

- (a) Social workers should accept responsibility or employment only on the basis of existing competence or the intention to acquire the necessary competence.
- (b) Social workers should strive to become and remain proficient in professional practice and the performance of professional functions. Social workers should critically examine and keep current with emerging knowledge relevant to social work. Social workers should routinely review the professional literature and participate in continuing education relevant to social work practice and social work ethics.
- (c) Social workers should base practice on recognized knowledge, including empirically based.

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, age, marital status, political belief, religion, or mental or physical disability.

4.03 Private Conduct

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

4.04 Dishonesty, Fraud, and Deception

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

4.05 Impairment

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

4.06 Misrepresentation

- (a) Social workers should make clear distinctions between statements made and actions engaged in as a private individual and as a representative of the social work profession, a professional social work organization, or the social worker's employing agency.
- (b) Social workers who speak on behalf of professional social work organizations should accurately represent the official and authorized positions of the organizations.
- (c) Social workers should ensure that their representations to clients, agencies, and the public of professional qualifications, credentials, education, competence, affiliations, and 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 of misrepresentations of their credentials by others.

4.07 Solicitations

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

4.08 Acknowledging Credit

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

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

5.01 Integrity of the Profession

- (a) Social workers should work toward the maintenance and promotion of high standards of practice.
- (b) Social workers should uphold and advance the values, ethics, knowledge, and mission of the profession. Social workers should protect, enhance, and improve the integrity of the profession through appropriate study and research, active discussion, and responsible criticism of the profession.
- (c) Social workers should contribute time and professional expertise to activities that promote respect for the value, integrity, and competence of the social work profession. These activities may include teaching, research, consultation, service, legislative testimony, presentations in the community, and participation in their professional organizations.
- (d) Social workers should contribute to the knowledge base of social work and share with colleagues their knowledge related to practice, research, and ethics. Social workers should seek to contribute to the profession's literature and to share their knowledge at professional meeting 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 evaluation or research participants are incapable of giving informed consent, social workers should provide an appropriate explanation to the participants, obtain the participants' consent to the extent they are able, and obtain written consent from an appropriate proxy.
- (g) Social workers should never design or conduct evaluation or research that does not use consent procedures, such as certain forms of naturalistic observation and archival research, unless rigorous and responsible review of the research has found it to be justified because of its prospective scientific, educational, or applied value and unless equally effective alternative procedures that do not involve waiver of consent are not feasible.
- (h) Social workers should inform participants of their right to withdraw from evaluation and research at any time without penalty.
- (I) Social workers should take appropriate steps to ensure that participants in evaluation and research have access to appropriate supportive services.
- (j) Social workers engaged in evaluation of research should protect participants from unwarranted physical or mental distress, harm, danger, or deprivation.
- (k) Social workers engaged in the evaluation of services should discuss collected information only for professional purposes and only with people professionally concerned with this information.
- (l) Social workers engaged in evaluation or research should ensure the anonymity or confidentiality of participants and of the data obtained from them. Social workers should inform participants of any limits of confidentiality, the measures that will be taken to ensure confidentiality, and when any records containing research data will be destroyed.
- (m) Social workers who report evaluation and research results should protect participants' Confidentiality by omitting identifying information unless proper consent has been obtained authorizing disclosure.
- (n) Social workers should report evaluation and research findings accurately. They should not fabricate or falsify results and should take steps to correct any errors later found in published data using standard publication methods.
- (o) Social workers engaged in evaluation or research should be alert to and avoid conflicts of interests and dual relationships with participants, should inform participants when a real or potential conflict of interest arises, and should take steps to resolve the issue in a manner that makes participants' interests primary.
- (p) Social workers should educate themselves, their students, and their colleagues about responsible research practices.

6. Social Workers' Ethical Responsibilities to the Broader Society

6.01 Social Welfare

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

6.02 Public Participation

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

6.03 Public Emergencies

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

6.04 Social and Political Action

- (a) Social workers should engage in social and political action that seeks to ensure that all people have equal access to the resources, employment, services, and opportunities they require to meet their basic human needs and to develop fully. Social workers should be aware of the impact of the political arena on practice and should advocate for changes in policy and legislation to improve social conditions in order to meet basic human needs and promote social justice.
- (b) Social workers should act to expand choice and opportunity for all people, with special regard for vulnerable, disadvantaged, oppressed, and exploited people and groups.
- (c) Social workers should promote conditions that encourage respect for cultural and social diversity within the United States and globally. Social workers should promote policies and practices that demonstrate respect for difference, support the expansion of cultural knowledge and resources, advocate for programs and institutions that demonstrate cultural competence, and promote policies that safeguard the right 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, age, marital status, political belief, religion, or mental or physical disability.

Social Work Licensure

Chapter 505 of the Texas Occupations Code requires that anyone identified to the public as a social worker be licensed under the laws and regulations of the state. Any public use of title or initials which could be construed by a reasonable individual as authorization to practice social work is restricted by law to those individuals who are currently licensed. Students who plan to practice as social workers in Texas upon completion of a master's degree in social work must take the licensing examination. The Texas State Board of Social Work Examiners, with administrative assistance from the Texas Department of Health, is responsible for the enforcement of the law protecting the title and position of social work.

Students graduating from the School of Social Work at Stephen F. Austin State University are qualified to sit for the licensure examination in the state of Texas. For more information about application for licensure, students may contact the Texas State Board of Social Work Examiners, 1100 W. 49th Street, Austin, TX 78756-3183, 1-800-232-3162 or (512) 719-3521, http://www.tdh.state.tx.us/hcqs/plc/lsw/lsw_default.htm.

IFSW Statement of Principles

Ethics in Social Work, Statement of Principles International Federation of Social Workers (IFSW) International Association of Schools of Social Work (IASSW)

1. Preface

Ethical awareness is a fundamental part of the professional practice of social workers. Their ability and commitment to act ethically is an essential aspect of the quality of the service offered to those who use social work services. The purpose of the work of IASSW and IFSW on ethics is to promote ethical debate and reflection in the member organizations, among the providers of social work in member countries, as well as in the schools of social work and among social work students. Some ethical challenges and problems facing social workers are specific to particular countries; others are common. By staying at the level of general principles, the joint IASSW and IFSW statement aims to encourage social workers across the world to reflect on the challenges and dilemmas that face them and make ethically informed decisions about how to act in each particular case. Some of these problem areas include:

- The fact that the loyalty of social workers is often in the middle of conflicting interests.
- The fact that social workers function as both helpers and controllers.
- The conflicts between the duty of social workers to protect the interests of the people with whom they work and societal demands for efficiency and utility.
- The fact that resources in society are limited.

This document takes as its starting point the definition of social work adopted separately by the IFSW and IASSW at their respective General Meetings in Montreal, Canada in July 2000 and then agreed jointly in Copenhagen in May 2001 (section 2). This definition stresses principles of human rights and social justice. The next section (3) makes reference to the various declarations and conventions on human rights that are relevant to social work, followed by a statement of general ethical principles under the two broad headings of human rights and dignity and social justice (section 4). The final section introduces some basic guidance on ethical conduct in social work, which it is expected will be elaborated by the ethical guidance and in various codes and guidelines of the member organizations of IFSW and IASSW.

2. Definition of Social Work

The social work profession promotes social change, problem solving in human relationships and the empowerment and liberation of people to enhance well-being. Utilizing theories of human behaviour and social systems, social work intervenes at the points where people interact with their environments. Principles of human rights and social justice are fundamental to social work.

3. International Conventions

International human rights declarations and conventions form common standards of achievement, and recognize rights that are accepted by the global community. Documents particularly relevant to social work practice and action are:

- Universal Declaration of Human Rights
- The International Covenant on Civil and Political Rights
- The International Covenant on Economic Social and Cultural Rights

- The Convention on the Elimination of all Forms of Racial Discrimination
- The Convention on the Elimination of All Forms of Discrimination against Women
- The Convention on the Rights of the Child
- Indigenous and Tribal Peoples Convention (ILO convention 169)

4. Principles

4.1. Human Rights and Human Dignity

Social work is based on respect for the inherent worth and dignity of all people, and the rights that follow from this. Social workers should uphold and defend each person's physical, psychological, emotional and spiritual integrity and well-being. This means:

1. Respecting the right to self-determination - Social workers should respect and promote people's right to make their own choices and decisions, irrespective of their values and life choices, provided this does not threaten the rights and legitimate interests of others.
2. Promoting the right to participation - Social workers should promote the full involvement and participation of people using their services in ways that enable them to be empowered in all aspects of decisions and actions affecting their lives.
3. Treating each person as a whole - Social workers should be concerned with the whole person, within the family, community, societal and natural environments, and should seek to recognize all aspects of a person's life.
4. Identifying and developing strengths - Social workers should focus on the strengths of all individuals, groups and communities and thus promote their empowerment.

4.2. Social Justice

Social workers have a responsibility to promote social justice, in relation to society generally, and in relation to the people with whom they work. This means:

1. Challenging negative discrimination* - Social workers have a responsibility to challenge negative discrimination on the basis of characteristics such as ability, age, culture, gender or sex, marital status, socio-economic status, political opinions, skin color, racial or other physical characteristics, sexual orientation, or spiritual beliefs.

*In some countries the term "discrimination" would be used instead of "negative discrimination". The word negative is used here because in some countries the term "positive discrimination" is also used. Positive discrimination is also known as "affirmative action". Positive discrimination or affirmative action means positive steps taken to redress the effects of historical discrimination against the groups named in clause 4.2.1 above.

2. Recognizing diversity - Social workers should recognize and respect the ethnic and cultural diversity of the societies in which they practice, taking account of individual, family, group and community differences.
3. Distributing resources equitably - Social workers should ensure that resources at their disposal are distributed fairly, according to need.

4. Challenging unjust policies and practices - Social workers have a duty to bring to the attention of their employers, policy makers, politicians and the general public situations where resources are inadequate or where distribution of resources, policies and practices are oppressive, unfair or harmful.
5. Working in solidarity - Social workers have an obligation to challenge social conditions that contribute to social exclusion, stigmatization or subjugation, and to work towards an inclusive society.

5. Professional conduct

It is the responsibility of the national organizations in membership of IFSW and IASSW to develop and regularly update their own codes of ethics or ethical guidelines, to be consistent with the IFSW/ IASSW statement. It is also the responsibility of national organizations to inform social workers and schools of social work about these codes or guidelines. Social workers should act in accordance with the ethical code or guidelines current in their country. These will generally include more detailed guidance in ethical practice specific to the national context. The following general guidelines on professional conduct apply:

1. Social workers are expected to develop and maintain the required skills and competence to do their job.
2. Social workers should not allow their skills to be used for inhumane purposes, such as torture or terrorism.
3. Social workers should act with integrity. This includes not abusing the relationship of trust with the people using their services, recognizing the boundaries between personal and professional life, and not abusing their position for personal benefit or gain.
4. Social workers should act in relation to the people using their services with compassion, empathy and care.
5. Social workers should not subordinate the needs or interests of people who use their services to their own needs or interests.
6. Social workers have a duty to take necessary steps to care for themselves professionally and personally in the workplace and in society, in order to ensure that they are able to provide appropriate services.
7. Social workers should maintain confidentiality regarding information about people who use their services. Exceptions to this may only be justified on the basis of a greater ethical requirement (such as the preservation of life).
8. Social workers need to acknowledge that they are accountable for their actions to the users of their services, the people they work with, their colleagues, their employers, and the professional association and to the law, and that these accountabilities may conflict.
9. Social workers should be willing to collaborate with the schools of social work in order to support social work students to get practical training of good quality and up to date practical knowledge.
10. Social workers should foster and engage in ethical debate with their colleagues and employers and take responsibility for making ethically informed decisions.
11. Social workers should be prepared to state the reasons for their decisions based on ethical considerations, and be accountable for their choices and actions.
12. Social workers should work to create conditions in employing agencies and in their countries where the principles of this statement and those of their own national code (if applicable) are discussed, evaluated and upheld.

TSBSWE Code of Ethics

CODE OF ETHICS

Texas State Board of Social Worker Examiners

781.401. Code of Ethics

(A) A social worker must observe and comply with the code of ethics set forth in this subchapter. Any violation of the code of ethics or standards of practice will constitute unethical conduct or conduct that discredits or tends to discredit the profession of social work and is grounds for disciplinary action.

- (1) A social worker shall not refuse to do or refuse to perform any act or service for which the person is licensed solely on the basis of a client's age, gender, race, color, religion, national origin, disability, sexual orientation, or political affiliation.
- (2) A social worker shall truthfully report or present her or his services, professional credentials and qualifications to clients or potential clients.
- (3) A social worker shall only offer those services that are within his or her professional competency.
- (4) A social worker shall strive to maintain and improve her or his professional knowledge, skills, and abilities.
- (5) A social worker shall base all services on an assessment, evaluation, or diagnosis of the client.
- (6) A social worker shall provide the client with a clear description of services, schedules, fees, and billing at the initiation of services.
- (7) A social worker shall safeguard the client's rights to confidentiality within the limits of the law.
- (8) A social worker shall be responsible for setting and maintaining professional boundaries. **(Revised 1/12/96)**
- (9) A social worker shall not have sexual contact with a client or a person who has been a client. **(Revised 8/20/96)**
- (10) A social worker shall refrain from providing service while impaired due to the social worker's physical or mental health or the use of medication, drugs or alcohol.
- (11) A social worker shall evaluate a client's progress on a continuing basis to guide service delivery and will make use of supervision and consultation as indicated by the client's needs.
- (12) A social worker shall refer a client for those services that the social worker is unable to meet and terminate service to a client when continued services are no longer in the client's best interest.
- (13) A social worker shall not exploit his or her position of trust with a client or former client. **(Revised 8/20/96)**

(B) The grounds of disciplinary action of a social worker shall be based on the code of ethics or standards of practice in effect at the time of the violation.

Ingredients for Becoming Culturally Competent

- Develop A Way of Knowing about each cultural group you work with.

People who are part of a particular culture should constitute the primary source for gathering information. Talk to people from different backgrounds because there is great diversity within each cultural group. Read the history about a group to ascertain what the culture sees and accepts as foundational values and tries to pass down through generations. Pay particular attention to cultural beliefs, rituals, religions; who and what they rely on during difficult times, learning pattern, axiology (nature of value), ontology(nature of being or reality), ceremonies, childrearing practices, treatment of the elderly, and superstitions. These reflect the values they embrace and the way they wish to be known.

- Realize that cultural competence is as much a positive attitude about multiculturalism as it is retention of multicultural content.
- Accept cultural differences as simply making a difference and not deviant, weird, bad or better.
- Learn the typical worldviews of cultural populations and let these worldviews inform your responses to different cultural groups.
- Respect religious diversity because it is frequently the dominant foundation for beliefs, lifestyle practices, childrearing practices and rituals of an individual.
- Understand that a person's survival instincts mandate that s/he is bi-cultural and subscribes to both a home and host culture (Vidal, C., 1992).
- Distinguish cultures from fads

There are people within a culture or sub-culture group who do things that are abhorrent to most people in the same cultural group. Because the behavior is usually by individuals in one cultural group, this does not give it cultural legitimacy. Instead it is usually seen by the larger cultural group as a cultural aberration. It is also referred to as individuals "losing their cultural immune system" (Akbar, N., 1992). Fads, unlike cultures, have currency but not longevity.

- Study what constitutes correct behavior in different cultures regarding death, dying, funerals, births, weddings, church attire, church behavior, cross generational communication, superstitions and sacred holidays.
- Acquire the ability to feel comfortable in the presence of people who are racially and culturally different from yourself.

(View them as co-human beings with burdens, hopes, aspirations, desires, and goals for themselves and their children, the same as you have. Once you connect with people as co-human beings with different experiences and ways for expressing their views that are unique to them, you become more comfortable in their presence while making them comfortable with you. Accept invitations to their social, religious, and celebratory events).

- Acknowledge that cultural differences make a difference rather than over relying on sameness while dismissing differences.
- When you work with people, about whom you know very little, share with them your lack of cultural information and ask them for guidance.

(When it is impossible to make cultural accommodations at your agency, make referrals, if possible. If you cannot, or the situation does not lend itself to a referral, ask the person(s) to identify a *cultural coach* you can work with on the person's behalf).

- Learn how different cultural groups define their economic and social status. It is likely to have more to do with their values than their income or "address".
- Learn the help-seeking behavior of different cultural groups. It will indicate whom you will need to consult, do, or not do with people of a particular culture.
- Make a personal and professional commitment to distinguish stereotypes from facts, and to learn the origin of stereotypes.

Determine if a stereotype is a racial, religious, and /or cultural prejudice. Then further determine if and how stereotypes are internalized by the stereotyped group. In a client situation, determine if either should be treated as a clinical, social, or other issue in treatment.

- Seek and you will find strengths in everyone.

(Everyone has strengths. Once they are identified, they become the Human Capital that propels treatment into a positive conclusion).

- Through constant introspection and self-awareness, when working across cultures, do not permit ones fears to make her or him appear racist to another cultural, racial, economic or religious group.
- There is no cultural homogeneity within a broad cultural group. Instead, there are multicultural beliefs, behaviors, religious practices, etc., within each cultural group.

Frances L. Brisbane, Ph.D.

Child Welfare Professional Development Project

The Child Welfare Professional Development Project (CWDP), Title IV-E Project of the School of Social Work at Stephen F. Austin State University, partners with the Texas Department of Family and Protective Services (DFPS) to enhance the knowledge and skills of current and future Child Protective Services (CPS) workers through undergraduate and graduate education in social work and by providing training opportunities to CPS staff, foster and adoptive parents, and community providers.

SFA is situated to serve two regions of TDFPS, Region 04 (Tyler – 23 counties) and Region 05 (Beaumont – 15 counties). The majority of the service area is rural and the population is underserved by social workers with professional and advanced degrees. CWDP helps to reduce the barriers to education by offering competitive stipends to BSW and MSW students who are interested in the child welfare field of practice.

BSW students must have a 3.0 GPA and complete a Title IV-E stipend application the semester before entering the final field placement. A CPS stipend committee then reviews applications, conducts interviews and awards stipends, which are currently \$3000. Upon graduation, stipend recipients commit to work for CPS for eight months in a Title IV-E position. Examples of these positions include Conservatorship, Foster/Adoption Home Development, and Preparation for Adult Living (PAL) specialists generally, positions other than investigation.

Stipend amounts are reexamined yearly according to funding availability. Also students should contact the financial aid office to determine if there will be a change in their awards.

Students interested in the stipend and a challenging and rewarding career with children and families should contact Becky Price-Mayo at (936) 468-1808 or bmayo@sfasu.edu

Appendix

**STEPHEN F. AUSTIN STATE UNIVERSITY
SCHOOL OF SOCIAL WORK
BSW PROGRAM
APPLICATION FOR SOCIAL WORK MAJOR**

Date: _____ Faculty Advisor: _____

1. Name: _____ SID#: _____

2. Permanent Address: _____

Campus or Local Address: _____

3. Classification: Freshman _____, Sophomore _____, Junior _____, Senior _____

4. Do you have transportation? Yes _____ No _____

5. Membership or affiliation in organizations.

6. Previous experience (volunteer or work) related to delivery of human services.

Yes _____ No _____ Years _____ Months _____

If yes, please describe.

7. Have you ever been convicted of a felony? Yes _____ No _____

If yes, please explain.

8. How did you become interested in the profession of social work?

9. How did you learn about the School of Social Work at SFASU?

10. Why do you feel, believe, think or know that you are suited for a career in Social Work? Begin your answer with YOUR definition of Social Work.

11. At this time, what are your career goals?

12. Is there any other information you would like to have considered as you apply to become a social work major?

I believe these responses reflect my interest and experience as I apply to enter into the social work major.

13. What admission status are you requesting? Clear _____ Provisional _____

****Provisional status can only be used for GPA exception 2.25 or waiver to enter a practice course without entering the program.**

**** Within one week of clear admission to the social work major notification, students will request an appointment with their faculty advisor to do a plan-of -study.**

Signature of Student

Date

Eligible _____ Not Eligible _____

**CHECKLIST OF REQUIREMENTS FOR
ADMISSION INTO THE SOCIAL WORK MAJOR**

STUDENT NAME

STUDENT ID#

ADVISOR

SOCIAL WORK MAJOR REQUIREMENTS

The following requirements must be met in order for a student to be admitted into the Social Work Major:

- ____ 1. Has an overall 2.25 GPA in courses taken at SFA.
- ____ 2. Has completed SWK 215, SWK 225 and SWK 300 with a grade of C or higher.
- ____ 3. Has completed 4 semester hours of Biology (BIO 121, 123, or 238) with a grade of C or higher.
- ____ 4. Has completed ENG 131 (3 hours) and ENG 132 (3 hours) with a grade of C or higher in each.
- ____ 5. Has completed 3 semester hours of MATH (MTH 110, 138, 139, 143, 144, 220)
- ____ 6. Has nine (9) hours or less of core curriculum requirements remaining to complete:
 - ____ Has completed 42 semester hours of core curriculum requirements or more
 - ____ Has completed 38 semester hours of core curriculum requirements

Admission Status: Clear _____ Provisional _____

Summary comments: _____

Advisor

Date

BSW Program Director

Date

Clear Admission to the Major Letter

Date

Student
Address

Dear Student

Congratulations, the BSW Admission Committee has met and granted you **clear admission** to the BSW Program. Please sign enclosed paperwork and return to me as soon as possible. Once you have signed and turned in all paperwork, you will need to setup an appointment with your advisor to complete your admission packet and plan of study after the semester starts. If you have any questions or concerns, please contact the administrative assistant at (936) 468-5105 or email.

Sincerely,

Administrative Assistant

Provisional Admission to the Major Letter

Date

Student
Address

Dear Student,

Congratulations, the BSW Admission Committee has met and granted you **Provisional admission** to the BSW Program. Provisional status was approved contingent that the student will take Human Biology concurrent with SWK 350 for fall 2010 semester. Please sign enclosed paperwork; you will need to setup an appointment with your advisor to complete a plan of study after the semester starts. If you have any questions or concerns, please contact the administrative assistant at (936) 468-5105 or email.

Sincerely,

Administrative Assistant

Provisional Admission to the Major Acceptance Letter

Date

I _____ understand the stipulations of provisional status and will complete the requirements that are required of me to continue in the Social Work program.

Student Signature

Date

Advisor

Date

BSW Program Director

Date

**Stephen F. Austin State University
School of Social Work
BSW Program**

Date:

To:

Re: Admission to Major

Your application to social work as a major has been reviewed and accepted. The committee has recommended your admission to the major with the understanding that you must continue to meet the following program expectations:

- Maintain a 2.25 overall grade point average.
- Maintain a C or better in professional social work courses.
- Demonstrate acceptable standards of professional conduct, personal integrity and emotional stability requisite for professional social work practice.
- Demonstrate effective interpersonal skills necessary for forming professional helping relationships.
- Demonstrate a commitment to the profession of social work.
- Demonstrate a commitment of adhering to the codes of ethics for National Association of Social Work and Texas State Board of Social Worker Examiners.

I have reviewed the above program expectations and understand that these expectations will serve as a criterion for my continued pursuit of a social work degree.

Student: _____

Date: _____

Advisor: _____

Date: _____

**Stephen F. Austin State University
School of Social Work
BSW Program**

Instructions on how to retrieve BSW Handbook

- Go to SFA Website
- Click on Academics Icon
- Click Colleges, Dept. & Programs
- Under College of Liberal and Applied Arts, click on Social Work Program
- Click BSW Program
- Click BSW Handbook (This should bring you to the Acknowledge of the BSW Student Handbook)

**Stephen F. Austin State University
School of Social Work
BSW Program**

**Acknowledgment of Receipt of
BSW Student Handbook**

I hereby acknowledge that I have been informed of how to access an electronic copy of the BSW Program Student Handbook. I have been informed of the policies and procedures contained therein.

I agree to comply with all policies and procedures mandated by the BSW Program, the School of Social work and Stephen F. Austin State University.

Student Signature

Date

Advisor Signature

Date



Advisor: _____

Application for Social Work Major

Voluntary Student Information Survey

Checklist of Requirements

**STEPHEN F. AUSTIN STATE UNIVERSITY
SCHOOL OF SOCIAL WORK**

**CERTIFICATE OF ADMISSION
TO THE SOCIAL WORK MAJOR**

Student Name

Student ID #

Has met the academic requirements for admission into the Social Work Major, and has been approved by the BSW Program Director to continue in the Social Work curriculum.

Advisor

Date

BSW Program Director

Date

Field Policy: Consideration of Criminal History Record of Social Work Students

I. Applicability

This policy applies to students enrolled in The School of Social Work as a pre-major and/or major and will be assigned to a community agency or organization to complete practicum hours.

II. Policy Statement

Pursuant to the Texas Administrative Code Title 25 Part I Chapter 414 Sub-Chapter K Rule 414.504, students with the following criminal history may not be considered for placement in a community agency or organization.

- (1) Criminal homicide (Penal Code, Chapter 19);
- (2) Kidnapping and unlawful restraint (Penal Code, Chapter 20);
- (3) Indecency with a child (Penal Code, §21.11);
- (4) Sexual assault (Penal Code, §22.011);
- (5) Aggravated assault (Penal Code, §22.02);
- (6) Injury to a child, elderly individual, or disabled individual (Penal Code, §22.04);
- (7) Abandoning or endangering a child (Penal Code, §22.041);
- (8) Aiding suicide (Penal Code, §22.08);
- (9) Agreement to abduct from custody (Penal Code, §25.031);
- (10) Sale or purchase of a child (Penal Code, §25.08);
- (11) Arson (Penal Code, §28.02);
- (12) Robbery (Penal Code, §29.02);
- (13) Aggravated robbery (Penal Code, §29.03);
- (14) a conviction under the laws of another state, federal law, or the Uniform Code of Military Justice for an offense containing elements that are substantially similar to the elements of an offense listed under paragraphs (1) - (13) of this subsection; and
- (15) A conviction which occurred within the previous five years for:
 - (A) Assault that is punishable as a Class A misdemeanor or as a felony (Penal Code, §22.01);
 - (B) Burglary (Penal Code, §30.02);
 - (C) Theft that is punishable as a felony (Penal Code, Chapter 31);
 - (D) Misapplication of fiduciary property or property of a financial institution that is punishable as a Class A misdemeanor or felony (Penal Code, §32.45); or
 - (E) Securing execution of a document by deception that is punishable as a Class A misdemeanor or a felony (Penal Code, §32.46).

III. Rationale

Social service agencies and providers are entrusted with the health, safety and welfare of vulnerable patients, clients and consumers and operate in settings that require the exercise of good judgment and ethical behavior. Thus, a students' suitability to function in such a setting is imperative to promote the highest level of integrity in social services agencies.

IV. Procedure

Student will be required to disclose criminal history information during the application process of each field education course. If the application reveals a finding pursuant to Part II of this policy, the student will be notified by the Direction of Field Education that he/she will not be able to be placed in an agency setting.

The student will be directed to his/her advisor for future planning.

V. Other Provisions

The policy concerning consideration of students with a criminal history will be included in the General Bulletin of the University, the School of Social Work Web site, and the School of Social Work student handbooks.