

**SMITH COLLEGE**

School for Social Work

Student Handbook  
2026-2027

# School for Social Work Student Handbook

## About the Handbook

The Smith School for Social Work Student Handbook is the student's guide to the School. It contains the most up-to-date information available on:

- Academic policies and procedures
- Enrollment and registration procedures
- Resources and services for students

Students are responsible for knowing the School and College's policies and procedures as published in this Handbook and the Practicum Learning Manual (M.S.W. students only). Please take the time to read both carefully.

This Student Handbook is intended only to provide information for the guidance of the Smith College School for Social Work students. The School reserves the right to make changes in the curriculum, course requirements, student handbook and/or schedule without advance notice. This handbook is not intended to be and should not be regarded as a contract between the Smith College School for Social Work and any student or other person.

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# 100 Essential Attributes and Abilities

Becoming a competent clinical social worker is a lengthy and complex process requiring the acquisition of knowledge, skills, and experience including the development and deployment of a conscious and skillful use-of-self. The professional activities of social work students are guided by the application of professional knowledge that is grounded in relevant biological, psychological, and social knowledge and research. This includes but is not limited to knowledge and skills in relationship-building, data-gathering, assessment, interventions and evaluation of practice.

The skillful use-of-self, the primary instrument of clinical social work, requires a certain set of attributes and abilities that enable students to engage successfully in the full spectrum of the experiences and the requirements of the curriculum. The following standards (distinguished from academic standards such as grades, class attendance, etc.) describe those attributes and abilities necessary for students to have and to demonstrate throughout the entirety of the program study in which they are enrolled at the SCSW. They are informed by both the mission of the School for Social Work and its commitment to the Five Core Principles of racial justice. Students at the Smith College School for Social Work are expected to have and demonstrate these abilities and attributes at a level appropriate to their year in the program. Attention to these standards are critical to the School's mission to educate effective clinical social workers and will be part of evaluations of students' progress in all arenas of the program, including classroom, internship, and as members of the school community.

Evident in its commitment to the Five Core Principles of racial justice is the School's recognition that structural racism and multiple forms of oppression manifest within all organizations and systems. Accordingly, the School also acknowledges that dominant standards of professionalism have been, and can be, used to further marginalize, exclude, and discount the contributions and competence of social workers from marginalized communities. A driving force for diversifying higher education is to decenter dominant narratives and to welcome a multiplicity of voices and knowledges within the profession. The School acknowledges, therefore, that building structures and processes of accountability that will aid the ongoing review and assessment of its practices and policies is also a critical component of the School's mission to educate effective clinical social workers.

In applying the standards outlined below, the School is committed to interrupting the ways that the forces of racism and structural oppression materialize within its own institutional policies and processes. In recognition, moreover, that students are placed in a broad range of internships, each at a different phase of their anti-oppression work, the School also affirms the need for ongoing work with these partner organizations in support of students as they navigate those systems. In all aspects of its educational programs, the School will strive to attenuate the impact of structural racism and oppression on the learning and progress of all students in

general, and students of color and those identifying with other marginalized communities in particular.

## **100.1 Professional and Ethical Commitment**

- Demonstrate commitment to the broad scope of values, ethics, goals, and standards of the profession as outlined by the Council on Social Work Education (CSWE), the National Association of Social Work (NASW), and the principles of the SSW Mission statement and anti-racism commitment.

## **100.2 Diversity & Social Justice**

- Demonstrate an appreciation for the value of human diversity in all aspects of their professional interactions
- Demonstrate a willingness and a capacity to engage the complexity of inequality and structural oppressions in all aspects of their professional interactions.

## **100.3 Self-Awareness & Self-Management**

- Demonstrate the ability to recognize and reflect upon one's own values, attitudes, beliefs, biases, emotions, and past experiences, and be adept at examining and managing how these affect their thinking, behavior, and relationships in all aspects of one's professional interactions.
- Demonstrate a willingness and capacity to critically examine and modify one's behaviors when they impede or contradict the values, ethics, and standards outlined by the profession and the School.

## **100.4 Empathy**

- Demonstrate the capacity to understand the experience and perspectives of other individuals or groups and be able use this empathic connection as a basis for productive professional relationships.

## **100.5 Communication**

- Demonstrate the willingness and capacity to communicate effectively and respectfully in all their professional interactions.
- Demonstrate a willingness and capacity to express one's ideas and feelings clearly.
- Demonstrate a willingness and capacity to be aware of the possible impact that personal communication on a social media platform could have in a professional setting.

- Demonstrate a willingness and capacity to listen respectfully to others. Demonstrate sufficient skills in spoken and written English to successfully engage in all components of the program.

## **100.6 Interpersonal Skills**

- Demonstrate the interpersonal skills needed to relate effectively and respectfully in all professional interactions. These include but are not limited to: compassion, altruism, integrity, and respect for and consideration of others.

## **100.7 Organizational Awareness**

- Interact respectfully and effectively with people in all capacities and hierarchical ranks within organizations.

## **100.8 Professional Behavior**

- Comport oneself within the scope of one's role as a social work student, adhering to the profession's code of ethics and practicing within the scope of their developing competencies.
- Demonstrate the willingness and capacity to critically analyze one's level of competence, making active use of feedback from relevant sources.
- Comport oneself as a professional in all arenas of the program.
- Professional comportment includes but is not limited to: timeliness, responsiveness, punctuality, reliability, and appropriate self-presentation. Be aware of and abide by the ethics, laws and policies of all arenas of the program (e.g., HIPPA, ADA, FERPA, etc.).

# 200 Course Specific Policies

## 200.1 Course Registration

Students are responsible for properly registering for all courses that meet the degree requirements for graduation, and for following the School's established registration procedures. Students whose names do not appear on the final course enrollment lists will not receive credit for a course.

## 200.2 Add/Drop

Students may add or drop courses within the posted add/drop period as long as the alternative choices meet degree and credit requirements to graduate. Since students must enroll in the same section of **SOCW 500/SOCW 501** and **SOCW 600/SOCW 601**, changes to **SOCW 501** and **SOCW 601** will not be permitted after the add/drop period for Summer Term 1 ends.

## 200.3 Auditing

Auditing is not permitted in School for Social Work courses.

## 200.4 Course Scheduling

The School reserves the right to reassign sections, make changes in course scheduling, and/or cancel course sections if enrollment is insufficient. The School does not guarantee a student's first choice of elective courses or required course section.

## 200.5 Prerequisites for Course Registration

- SOCW 500 and SOCW 501 are prerequisites for the First-Year practicum internship. Students cannot progress to the First-Year practicum internship without passing (P or MP) these prerequisite courses, except in exigent circumstances as determined by the Director of Practicum Learning and the Associate Dean of Academic Affairs.
- SOCW 600 and SOCW 601 are prerequisites for the Second-Year practicum internship. Students cannot progress to the Second-Year practicum internship without passing (P or MP) these prerequisite courses.
- SOCW 500 is a prerequisite for SOCW 501, as is SOCW 600 for SOCW 601. Students cannot progress to SOCW 501 or SOCW 601 without passing (P or MP) its prerequisite course.

## 200.6 Transferring Course Credit

### **200.6.1 Master's Program**

Up to 12 transfer credits may be awarded for courses completed with a grade of B or above from an accredited graduate school of social work within five years of the date of matriculation to the M.S.W. program. Students must send the transfer request form (available from the SSW Registrar's Office) with supporting documentation, including a syllabus and a statement as to how the course meets SSW requirements, to the SSW Registrar's Office at least three weeks before the term start date. The appropriate Course Coordinator in consultation with the Associate Dean of Academic Affairs, will make the decision with regard to the transfer credit. No credit will be granted for previous work experience or life experience.

Requests for transfer credit taken after admission may be approved in extraordinary circumstances, but must be approved by the ADAA as an exception to the transfer course credit policy prior to completing the work.

### **200.6.2 Doctoral Program**

Transfer credit is not permitted in the Ph.D. program.

## **200.7 Waiving a Required Course**

### **200.7.1 Master's Program**

Some required courses may be waived if students can demonstrate that they have mastered the course content prior to enrollment. No credit is awarded for waived courses; credits must be made up by taking electives. The transcript will indicate when a waived course has met a requirement. Students must submit waiver forms to the Registrar's Office by April 1 of the year of admission in order for the request to be considered.

### **200.7.2 Doctoral Program**

Waived courses are not permitted in the Ph.D. program.

## **200.8 Class Attendance**

Students are required to attend all classes.

Our program does not offer "personal days" or days off from class other than official holidays as noted in the academic calendar. In the event of a health-related absence or an absence due to a personal crisis, students must contact their instructor to let them know they will need to miss class. In these instances, the student and instructor will discuss how to cover the missed work. Students cannot pass a course if they miss more than 20% of class time.

In rare cases, a student who misses more than 20% of a course may be allowed to do an independent study to complete the course, only if:

- the cause of the absences are due to extraordinary circumstances beyond a student's control, or
- the student has prior accommodations from the Accessibility Resource Center (ARC), and the Director of ARC and the Associate Dean of Academic Affairs concur that such accommodations are necessary and can be arranged in the classes affected, and
- the student's progress in the course has been satisfactory.

Whether or not a student is afforded this opportunity will be determined by the Associate Dean of Academic Affairs, in consultation with the instructor and the relevant Coordinator or Chair. The grade for the course will be an Incomplete (I) until the independent study is completed.

## **200.9 Extensions**

Any request to an instructor for an extension to complete work must be made prior to the due date of an assignment. Instructors may grant an extension of up to 3 days per assignment. Additional days may be granted with documentation from the Accessibility Resource Center (ARC), which must be provided to the instructor ahead of the assignment deadline, up to a total of 5 days for mid-term assignments and beyond the last day of class at the end of a term. Any student who has been given an extension beyond the end of the term will be given an Incomplete until the work is completed.

## **200.10 Incomplete Work**

Any student who has been granted an extension, not to exceed 5 days, beyond the end of the term will be given an Incomplete as the grade. If the work is not completed and submitted within the granted extension period, a final grade will be assigned based on all work that has been submitted by that date.

Students who choose to take a Leave of Absence in the midst of a term may be assigned a grade of Incomplete at the determination of the Associate Dean of Academic Affairs if at the time of the request:

- The student is not currently failing the course, and
- The student has completed more than 60% of the course.

Exceptions to these limitations may be made at the discretion of the Associate Dean of Academic Affairs or the Director of the Ph.D. Program.

## **200.11 Withdrawing from a Course**

A student may withdraw from a course in which they are currently enrolled after the add/drop period and not later than the completion of 60% of the course (i.e., for a two-credit course, the student would

need to withdraw by the end of class 6 of a 10-session course; for practicum internships, the student would need to withdraw by the last practicum day in January.)

If a student withdraws within the time frames outlined above, the official record of the School will indicate “Withdrawn” as the grade; there is no partial credit granted and students will not receive credit for the course.

Students who discontinue a course after the 60% point but before completing course requirements will receive an F for that course.

In the event of a catastrophic circumstance (e.g., significant personal loss or a major health issue), a student who must take a Leave of Absence (LOA) after completing 60% of the term may be eligible to receive a grade of “W,” provided the student was earning passing grades at the time of the leave.

This exception applies only to extraordinary situations requiring a Leave of Absence due to catastrophic events. It may not be used in cases involving academic performance concerns or for students seeking to restart coursework.

## **200.12 Student Feedback on Courses and Internships**

Students are strongly encouraged to complete a feedback form for all courses and practicum internships in which they have been enrolled.

# 300 Grading Policies

Using the official school grading policy, instructors are expected to assign grades on the basis of a critical and fair assessment of the student’s work. It is the right and obligation of the instructor to assign the grade they deem appropriate.

Students are responsible for attending to academic progress criteria, monitoring their own learning performance against those criteria, identifying problems in meeting course criteria, and initiating timely efforts to address them.

## 300.1 Grades for Coursework

All courses will be graded on a Pass/Marginal Pass/Fail basis in accordance with the course rubric. Grades are kept indefinitely as part of the student’s permanent record ([Section 700.2](#)).

Letter grades are assigned in accordance with the categories defined below:

- **P – Pass:** performance reflecting an acceptable mastery of graduate level course content. A pass in this system should be viewed as the equivalent of the work in the “B” or better category in an A to F grading system.
- **MP - Marginal Pass:** performance of a marginal quality, falling below the mastery of graduate level course content. A marginal pass in this system should be viewed as the equivalent of the work in the “C” category in an A to F grading system.
- **F – Fail:** performance that fails to demonstrate creditable mastery of graduate-level course content.
- **I – Incomplete:** used for cases in which the student has not completed all assignments for a course but has obtained written permission, following the established procedures, for additional time to complete those assignments. The grade of Incomplete is a temporary grade designation.
- **W - Withdrawal:** used when a student withdraws from a course, following all established procedures (see section [200.11](#)).

Grade	Meaning
Pass	83 to 100
Marginal Pass	75 to 82
Fail	0 to 74

## 300.2 Appeal of Grade

A student who receives a grade that they believe is inaccurate according to the rubric, should discuss with the course instructor. If the issue cannot be resolved in discussion with the

instructor, the student may petition the Associate Dean of Academic Affairs (ADAA) if they believe the grade was awarded in violation of the School's stated grading policies. The ADAA's decision shall be final. The following procedures regarding appeals shall govern.

- The petition must be submitted to the ADAA in writing no later than seven (7) days following the publication of the final grade by the Registrar's Office.
- If the ADAA determines that the School's grading policies have been followed, the student shall be so notified and the grade will stand.
- If the ADAA determines that the School's grading policies have not been followed, the ADAA, in consultation with the appropriate Course Coordinator or Ph.D. Program Director will grant to the student a remedy which may include an opportunity for re-assessment, submission of another paper/ assignment, or the possibility of re-taking the course.

## **300.3 Failing Grades**

### **300.3.1 Master's Program**

A grade of F will result in Academic Probation. See section [500.4 Academic Probation](#) for additional information.

#### **300.3.1.1 Options for Making Up Failing Grades**

When a student fails a course, several options exist for making-up the credits:

- Retake the failed course (mandatory for required courses); a course can only be retaken one time
- Make up the credits by taking and successfully completing another elective
- Make up the failed course at another institution; prior approval of the course by the ADAA, see policy on Transfer Credit.
- At the discretion of the ADAA a substitute course may be identified (required courses only)

### **300.3.2 Doctoral Program**

A grade of F in any required course would disallow a student from continuing in the Program. See section [500.5 Dismissal](#) for additional information.

# 400 Student Advising

Academic and Practicum advisement is made available to all SSW students. Its purpose is to support student learning and address concerns, questions or issues as they arise. It is the aim of SSW to ensure that structural components such as factors at the School or agency in practicum advisement are taken into consideration within advisement as well.

## 400.1 Master's Program

### 400.1.1 Summer Academic Advising

Instructors for practice courses SOCW 500/SOCW 501 and SOCW 600/SOCW 601 serve as the Academic Advisers for first and second year students respectively; students are required to meet with their Academic Adviser at least once over the course of the summer.

The Registrar's Office will randomly assign advisors from the resident faculty to serve as advisors for third year students. Exceptions for the assignment of advisors are made when instructors hold an administrative role within the School. Advisers can be consulted as needed during the student's third summer.

### 400.1.2 Practicum Advising

Practicum advisers are assigned each year for the September-April term by the Office of Practicum Learning.

## 400.2 Doctoral Program

### 400.2.1 Summer Academic Advising

The Program Director serves as the Academic Advisers for all students prior to the dissertation phase, during which the Chair functions as the student's main advisor.

### 400.2.2 Practicum Advising

Practicum advisers are assigned each year for the September through end of April term by the Office of Practicum Learning. Students will generally maintain the same adviser for both years. For more detailed information please refer to section 2000.5 Ph.D. Practicum Faculty Adviser

### 400.2.3 Research Supervising

Research supervisors are assigned to second year students to provide oversight for the student's research internship (for more detailed information please refer to section 2002 Research Internship) and

comprehensive paper (for more detailed information please refer to section 2003 Comprehensive Exam).

#### **400.2.4 Dissertation Advising**

The Dissertation Chair role assumes the responsibility of advising the student until the process is complete and the student's committee approves the final dissertation (or more detailed information please refer to section [2004 Dissertation](#)).

# 500 Academic Difficulty

Students who encounter academic difficulties are encouraged to discuss learning challenges first with the instructor of the relevant course and next with their Academic Adviser if the difficulties extend across a number of courses. The Accessibility Resource Center is available to assist students who require specific accommodations due to disability.

## 500.1 Problem-Solving and Community Accountability Framework

Smith SSW is committed to fostering a learning environment that supports direct communication, meaningful engagement, and equitable resolution of concerns. To promote a culture of learning, care, and accountability, students, faculty, and administrators are encouraged to engage in a three-phase problem-solving process (Prevention, Intervention, and Restorative Action) when challenges arise that affect learning, well-being, or community dynamics.

### Phase 1: Prevention

Prevention strategies are intended to reduce conflict, build community capacity, and create conditions where concerns can be addressed early and informally.

- **Community Agreements:** At the start of each term, students and faculty revisit shared agreements that reflect principles of respect and collective accountability.
- **Relational Infrastructure:** Students have access to regular, informal check-ins with faculty, advisers, and peer leaders to support early identification of challenges in learning or community engagement.
- **Skill-Building:** All community members are expected to participate in workshops that build capacity in restorative practices, direct communication, recognizing bias and navigating differences.

### Phase 2: Restorative Intervention

When issues cannot be resolved through informal means or when harm or disruption occurs, this phase supports timely, relational, and structured problem-solving.

- **Direct Engagement:** Students are expected to communicate directly with those involved in the concern (instructor, practicum supervisor, peer).
- If more support is needed to resolve the issue, a meeting may be convened by the Director of Community Engagement and Student Support (or their designee) with the student and involved parties to facilitate resolution.
- If resolution cannot be achieved through either step, either due to the nature or intensity of the conflict we will hold an Academic Conference [please see section 500.2]

When harm has occurred related to community agreements or interpersonal conflict, restorative processes are initiated if possible.

- Restorative Dialogue or Circle: A structured conversation, facilitated by the Director of Community Engagement & Student Support or their designee, brings together those who were impacted to share perspectives, take accountability, and identify steps toward repair.
- Restorative Action Plan:
  - Developed collaboratively with input from impacted parties.
  - May include community repair, education, reflective practice, or service commitments.
  - Supported and monitored by the Director of Community Engagement & Student Support or their designee
- Reintegration Support: After completing the Restorative Action Plan, the student is supported in reintegrating into the learning community, with opportunities to reflect on their learning and reaffirm shared values.

## Ongoing Learning and Evaluation

Smith SSW will regularly evaluate the effectiveness and equity of this process through community feedback and iterative revision. Particular attention will be paid to the experiences of students from historically marginalized backgrounds to ensure the framework aligns with institutional commitments to racial and social justice.

### Accessing the Process

Students may access this process through:

- Direct conversation with an instructor, supervisor, or adviser
- Anonymous or supported consultation with a Marta Sotomayor Fellow
- Referral or request to the Office of Community Engagement & Student Support

## Relevant Support Roles and Pathways

Issue	Where to Go
Academic (Course-based)	1. Instructor
	2. Adviser/PFA
	3. Course Coordinator/PhD Director
	4. Associate Dean of Academic Affairs
Registration/Credit/Grades	Registrar's Office
Disability/Accommodations	Director, Accessibility Resource Center
Leaves or Withdrawals	Associate Dean of Academic Affairs
Residential Community Issues	1. Head Resident
	2. Director of Community Engagement

## 500.2 Academic Conference

An Academic Conference is called when a student is placed on Academic Probation (see section 500.4) or when a student is encountering difficulties that impact academic performance. The Academic Conference constitutes SSW's procedures to address a student's emerging academic and learning issues. The procedures aim to ensure that:

- concerns about a student's academic progress are brought to a student's attention;
- expectations, supports, and relevant timelines for amelioration of the concerns are established;
- and a range of possible outcomes for the student are reviewed and discussed.

The purpose of the Conference is to discuss educational goals and mediation of issues to achieve learning goals when advisement and the informal problem-solving process have proven insufficient in resolving learning challenges. It is expected that a holistic analysis of the student's learning situation will be continued through the Conference process. There will be an examination of the student's learning issues and the learning environment, including structural factors that may be impacting it. The Associate Dean of Academic Affairs (ADAA) makes the decision whether the situation should move into the Academic Progress Review process or remain as an advising issue.

Serious issues of personal or professional misconduct move directly to Academic Review (see section X).

The following procedures will guide the Conference process:

1. The ADAA, Director of the Doctoral Program (if Ph.D. student), one of the Directors of Practicum Learning or designate will facilitate the meeting.
2. The meeting will result in one of three outcomes:
  1. Action steps articulated for the organization or school. No substantive action steps identified for the students. In this case, the Conference is considered closed for the student.
  2. Action steps identified for the student, supervisor and/or adviser. In this case, the School will work with the adviser and/or supervisor or agency to resolve issues. The Action Plan should have a clear end date, no later than May 31st, by which a final determination of progress is made.
  3. Action steps articulated for the student only, with no substantive action steps identified for the organization or School. The Action Plan should have a clear end date, no later than May 31st, by which a final determination of progress is made.
3. The Action Plan will include a check-in point to make sure that issues are being resolved, what criteria will be used to make this determination, and who is responsible for initiating the check-in.
4. The Action Plan will be drafted for the review of all parties. All parties should provide feedback within a reasonable time frame, typically one week. The meeting facilitator will hold final responsibility for the content of the Action Plan. If any party continues to be in disagreement with an aspect of the Action Plan, they should submit their concern in writing. This will be appended to the Action Plan and taken into consideration through the check-in phase to the conclusion of the conference.
5. At the end of the period specified in the Action Plan, the meeting facilitator will submit a written report to the Associate Dean of Academic Affairs summarizing the progress made on the Action

Plan on or before May 31st. In developing the Action Plan Update Summary, the meeting facilitator should consider the following sources of information:

1. Input from instructor and student regarding the issues outlined in the Action Plan with attention to individual level and structural issues;
2. Where relevant, monthly practicum narratives and practicum evaluation forms to date in the current internship;
3. Relevant correspondence; and
4. Independent information that the student may submit.

Upon review of the Action Plan summary report, the meeting facilitators will determine whether action steps were successfully met in consultation with the ADAA, as needed.

Outcome options include:

1. The Action Plan is considered successfully accomplished and all issues resolved. In the case where there are student requirements, the Action Plan is considered concluded.
2. The Action Plan should be renewed and continued; a time frame must be specified for any continuation.
3. The issues cannot be resolved through the consultation process and an Academic Review will be convened.

## **500.3 Academic Review**

Students may be referred to an Academic Review in cases of ongoing academic difficulty that have not been resolved successfully through the Academic Conference (as outlined in section 500.2) or in serious situations of personal or professional misconduct.

### **500.3.1 Personal and Professional Misconduct Violations**

Personal and/or professional conduct of a student that calls for a Review process without an intervening Conference includes, but is not limited to, such matters as the following:

1. Egregious violations of the National Association of Social Work (NASW) Code of Ethics.
2. Harassing, coercing, verbally abusing, or intimidating any persons the student encounters in an arena of the Program, including classroom, internship, and the larger school community.
3. Unauthorized or improper use of college, school and/or internship agency services, equipment, and facilities, including and not limited to computers, email or web addresses, social media platforms, and telephones.
4. All forms of dishonesty including cheating, knowingly furnishing false information to the college, school, or internship agency, any alteration or misuse of college, school, or internship agency documents, records, or instruments of identification.
5. Improper disclosure through electronic or other means of protected information and/or information designated as confidential that the student encounters in their role as a student and/or as a member of the school/college community.
6. Theft of or intentional damage to property of the school, college, internship agency or of members and visitors of the above.

7. Physical abuse or harm or threat of physical harm or abuse to any persons that the student encounters in any arena of the program, including classroom, internship, and the larger school community.
8. Plagiarism, defined as presenting all or parts of another's work product as one's own.
9. A violation of the Smith College Policy on Substance Use and Abuse.
10. A violation of the Smith College Sexual Harassment Policy and Procedures or Smith College Sexual Assault Policy.

### **500.3.2 Convening the Academic Review Committee**

The Academic Review Committee (the "Committee") serves as the body before which all issues pertaining to a student's academic progress and personal and professional conduct comes for hearing and disposition. Any given Review will be attended by a subsection of the resident faculty, and by others who will be invited by the Chair of the Committee to present information.

#### **Voting Committee Members at the Review:**

- The Associate Dean of Academic Affairs, Chair
- Director of Practicum Learning or Director of Ph.D.
- Two faculty from among the Resident Faculty

#### **Non-Voting Committee Member at Review:**

The Director of Community Engagement and Student Support or designee will attend the meeting and participate in all discussions as a non-voting member. They are charged with observing and attending to issues of fairness and structural matters relevant to the Review process. The Director of Community Engagement and Student Support or designee is not present as an advocate for the student undergoing the Review.

### **500.3.3 Invited Participants at Review**

The relevant instructor and/or adviser may be present in person, through conference call or visual medium. In a Review generated from the Practicum sequence, the relevant internship supervisor and/or training director may also be asked to participate by phone to address questions.

### **500.3.4 Supporting Participant at Review**

The student under Review may request in writing that a person of choice, who is a member of the School community in good standing, be present at the Review as a non-voting participant.

The written request from the student under Review serves as that student's informed consent to the presence and participation of this supporting individual at the Review.

This individual will be present during the presentation/discovery portions of the Review but will not be present during the deliberation/adjudication of the committee.

If the student under Review chooses, the supporting individual may be present with the student under Review for the Committee's presentation of the Review outcome.

The role of the supporting participant will be to help the student prepare for and present the student's point of view, ensure that the committee has considered the points the student has presented, and that the committee has followed its own stated guidelines. They may also make a statement on behalf of the student.

The supporting participant will sign a notice of confidentiality prior to the Review, indicating the participant's agreement that no portion of the proceedings can be disclosed to any person or persons.

### **500.3.5 Review Procedures**

A Review is initiated in writing by the relevant adviser or administrator (e.g., Associate Director of Practicum Learning) in consultation with the Associate Dean of Academic Affairs. Written request for a Review is sent to the Associate Dean of Academic Affairs.

There are two pathways to a Review: personal and/or professional misconduct of a student that calls for a Review process without an intervening consultation. (See the non-exhaustive list of examples under Personal and Professional Misconduct Violations).

Upon receipt of a preliminary request for a Review, the ADAA will review relevant information to determine whether a move to Review is warranted.

Materials must reflect a structural as well as individual level examination of learning progress. Materials to be reviewed may include but are not limited to the following:

- Student's written statement: The student may submit a written statement in response to the identified concerns within a timeframe specified by the Chair, typically 7-10 days
- Documentation that was presented for the relevant Consultation request
- The Action Plan Update Summary letter.

If Practicum related:

- Any additional monthly practicum narratives
- Any additional relevant email correspondence
- Standard information about the learning environment, which may include:
  - Agency description
  - Number of years of relationship with the agency
  - Log information about the agency focused on organization
  - Student and PFA ratings of the organization
  - Where possible, number of consultations/reviews conducted involving that agency/organization
  - Demographic summary of students placed there in the past

Once initiated, the Associate Dean or designee is responsible for managing the review process from notification to the implementation of any action items for the student or other parties.

### **500.3.5.A Notice of Review**

The Office of the Associate Dean of Academic Affairs (Chair of the Review committee) or designee will notify the student of the Review in writing and outline the areas of concern.

The Office of the Associate Dean will notify the committee and the student of the date and location of the Review meeting which will be scheduled as swiftly as possible.

The Associate Dean or designee will hold a pre-meeting with the student to overview the Academic Progress Review process and a post-meeting with the student to review next steps. The student may seek support from the Sotomayor Fellow or a faculty member through the process.

### **500.3.5.B Pre-Review Information Dissemination**

The information identified above will be distributed to participating Review committee members. The student may authorize the sharing of this information with other key members of the SSW community (e.g., Accessibility Resource Center, support participant).

### **500.3.5.C Preparation Meeting of the Participating Review Committee Members**

Prior to the commencement of the Review, the voting members, and non-voting Sotomayor Fellow and student member (if participating) of the Review Committee shall meet to define the function, focus, and terms of the Review.

### **500.3.5.D Review Meeting Process**

#### **Exploration Phase**

The Review will commence with the student presenting their view of the situation (in a specified amount of time), followed by comments, questions, and discussion from other participants.

#### **Deliberation Phase**

Deliberations will be conducted only by the voting members, Sotomayor Fellow, and non-voting student member (if participating) of the Review Committee.

### **500.3.6 Notification of the Review Outcomes**

At the conclusion of the Review, the Chair of the Committee will meet with the student under Review to inform the student of the committee's findings and decisions. A written letter from the Chair of the Review Committee will serve as a summary document. The Summary document which will be sent to the reviewed student, members of the Review Committee who participated in the Review, and in practicum-related reviews, to the Chair and Associate Director of Practicum Learning and to the Dean of the School will include:

- Information on the notice of the Review;
- the reason for the Review;

- the names of the Review Committee members and presenters who participated in the Review;
- the Committee’s decisions and the recommended sanctions;
- the salient facts the Committee relied upon in making its decisions, including information regarding outcomes from the summary of the Action Plan (CAP) as applicable.

### **500.3.7 Non-Exhaustive List of Authorized Sanctions**

- **No action**, which means that the Committee determines that the student under Review may continue in good standing.
- **Warning, or a reprimand**, which becomes part of the student’s official record but is not considered a formal disciplinary action.
- **Additional work** such as writing extra papers or accumulating extra credits in order to graduate.
- **Probation**, for a period to be specified by the Committee, with or without conditions, which is intended to serve as a serious warning to students whose performance and/or conduct give cause for concern. The student will be relieved from probation if, at the end of the set period of time, satisfactory conduct, as outlined by the Committee, has been maintained. Failure to meet the conditions of probation is a serious matter and will ordinarily result in mandatory leave or dismissal.
- **Mandatory leave of absence** which requires that the student not register for a specified period of time and is recorded on the student’s permanent transcript.
- **Dismissal**, an action taken in the most serious cases, which ends a student’s connection with the School and is recorded on the student’s permanent transcript.

A combination of sanctions is also authorized.

### **500.3.8 Confidentiality**

All deliberations of the Review Committee are held in private and are to be treated as confidential by all those participating in the Review. Information regarding the activities of the Committee and/or its decision making process should be kept as confidential and only shared with School and College employees who have a legitimate educational need to know; moreover, such information should not be shared with external entities except where deemed necessary (e.g., where supervisor support is required to meet the educational goals in an Action Plan, among other possibilities) as described above in the Notification of Review Outcomes, or if legally required (e.g., in response to a valid subpoena).

### **500.3.9 Student’s Request to Withdraw or Take a Leave of Absence Prior to a Review**

For policy regarding requests to withdraw in light of an upcoming Review, see section on Withdrawal from the Program. For policy regarding requests to take a leave of absence in light of an upcoming Review, see section on Leave of Absence.

### **500.3.10 Appeals Procedures**

Any decision by the Academic Progress Review Committee can be appealed to the Dean, whose decision shall be final. The following procedures regarding appeals shall govern.

### **500.3.11 Appeal of the Academic Progress Review Decision**

The student Reviewed, any member of the Academic Progress Review Committee, and any other participant of the Review who believes the Committee did not follow its procedures as delineated in this Handbook may appeal to the Dean in writing within seven (7) days after the date of the written notice of the Committee's decision to the student is issued by the Chair of the Committee. The Dean's decision shall be final.

## **500.4 Academic Probation**

### **500.4.1 Master's Program**

Students are expected to receive a Pass or Marginal Pass for all courses, and maintain Good Academic Standing throughout their time in the program.

Students lose Good Academic Standing by:

- A third MP in a required course in any year will result in Academic Probation
- An F in a course in any year will result in Academic Probation
- Violating any personal or professional standards as outlined in Section 500.3.1

Failure to maintain Good Academic Standing puts awarded Merit Scholarships (if any) in jeopardy; discretion to continue/discontinue a merit scholarship will be determined by the Associate Dean of Academic Affairs.

Any course which a student fails must be retaken; no course may be retaken more than one time. Once a course has been successfully retaken and passed, that F will no longer count against the student's being in good standing.

Any student going onto Academic Probation will receive an Academic Probation Notice from the Associate Dean of Academic Affairs (ADAA). That notice will be followed by an Academic Conference.

#### **500.4.1.1 Regaining Good Academic Standing**

A student placed on Academic Probation as a result of grades can regain Good Academic Standing in the following ways:

- Remain below the maximum number of MPs and/or F's allowed cumulatively in the following academic year
- Successfully retake the required course in which the F was received. When a course is retaken and the F is replaced by a passing grade, the Academic Probation period will end. If a required

course in which a student received an F is taken a second time and receives a grade of F a second time, they will be dismissed from the program.

A student can be placed on Probation for unprofessional conduct or behavior by a decision of the Academic Progress Review Committee, which will specify the terms of the Probation. In exigent circumstances the Associate Dean of Academic Affairs or the Dean may place a student on Probation. The terms for completing Probation will be decided upon by the ADAA or the Academic Progress Review Committee.

If a student withdraws from the School while on probationary status, the record will indicate "Withdrawn on Probationary Status."

## **500.4.2 Doctoral Program**

It is the policy of the School to advise students of problems in their academic standing when these become evident. When feasible, faculty will offer early notification about performance falling below acceptable standards and will attempt to help students meet course criteria. When substantial weight is carried by the final assignment, prior notification of problems in standing may not be possible.

A final grade of MP in any course will be regarded as an occasion for review of the student's learning needs.

Over the 27 months of Doctoral Program residency, a student may receive a final grade of MP in up to two courses; a third final grade of MP or F in any subsequent course will result in dismissal from the Program.

## **500.5 Dismissal**

### **500.5.1 Master's Program**

Grounds for dismissal from the program based on grade include:

- A fourth MP in a required course in the same year, a second F in a required course in the same year, or a combination of 3 MPS and an F in required courses the same year.

Cumulatively, no student may acquire more than 4 MPs and/or 1 standing F in required courses. Therefore, 4 MPs and/or an additional F in a course that has not yet been retaken will be grounds for dismissal.

The School reserves the right to dismiss any student from the School for failure to maintain Good Academic Standing, section 800.5 and/or personal or professional conduct standards.

In cases of dismissal, fees will be refunded as stated in the section on Refund Policy. Student financial aid will be canceled. The student record will indicate "Dismissed."

### **500.5.2 Doctoral Program**

A student in the Ph.D. Program who receives any of the following shall be dismissed from the Program:

- A failing grade in any course (Within our structure the course cannot be repeated. See section 300.3 of this Handbook regarding Failing Grades), or
- A grade of Marginal Pass in three courses, or
- Failure to progress in work and/or to complete the dissertation requirement within the five-year post-residency time limit, except when written notice of an extension to this time limit has been granted by the School, either in recognition of a student's ongoing productive work on the dissertation or in consideration of special extenuating circumstances communicated by the student to the School, or when formal leave of absence has been granted by the School.

A decision to dismiss a student from the Program can also result from an action of the Academic Review Committee. Any situation warranting or placing a Student at risk of dismissal may be brought to the Academic Review Committee by a concerned party, including the student, except when the dismissal results from a prior action of the Committee itself. In that case, the recourse of the student is to a grievance or appeal procedure.

### **500.5.3 Appeal of a Dismissal**

If a student who has been dismissed from the program believes the School's stated policies have been violated, they may appeal their dismissal to the Dean of the School for Social Work. The Dean's decision shall be final. The following procedures regarding an appeal of a dismissal shall govern.

1. The petition must be submitted to the Dean in writing not later than 7 days following the receipt of the dismissal notification.
2. If the Dean determines that the School's stated policies have been followed, the student shall be so notified.
3. If the Dean determines that the School's policies have not been followed, the Dean, in consultation with the ADAA, will grant to the student a remedy that may include an opportunity for re-examination, submission of additional work, or the possibility of re-taking a course(s).

# 600 Leave of Absence, Withdrawal, and Readmission

If a student voluntarily leaves the program for any reason, they must immediately request a change of status with the Associate Dean of Academic Affairs' office (for a withdrawal or a leave of absence). If the Associate Dean of Academic Affairs' office does not receive a written request for a leave of absence within two weeks of their final day in the internship, the student will automatically be withdrawn from the School.

Any student considering a voluntary leave of absence from the practicum internship, for any reason, must be in contact with the supervisor, Faculty Practicum Adviser and Director or Associate Director of Practicum Learning to develop a sound termination plan that holds client care central. There are no partial practicum credits granted for students who do not complete the practicum internship.

## 600.1 Voluntary Leave of Absence

Students may apply in writing to the Associate Dean of Academic Affairs for a leave of absence on an individual basis for any personal reason at any point in the program.

Leave is generally granted for a one-year period, which may be renewed for a period not to exceed a total of two years.

To request extension for the leave of absence, a student must request in writing to the Associate Dean of Academic Affairs by January 5 of the year the granted leave expires.

A student who fails to comply with the terms of the leave will be withdrawn from the school.

## 600.2 Mandatory Leave of Absence

### 600.2.A Adjudicated by the Academic Review Committee

The Academic Review Committee may mandate a leave of absence. If a student refuses the mandatory leave, the ADAA will decide whether to dismiss the student or to allow the student to withdraw from the program.

### 600.2.B Adjudicated by the Dean's Office

In rare and exigent circumstances including emergencies and other crises, the Dean or Associate Dean may require a leave of absence of any student.

A student who has been on a required leave of absence adjudicated by the Dean's Office and wishes to be reinstated to the program, will be required to undergo an Academic Review to determine the student's readiness to be reinstated.

## **600.3 Returning from Leave of Absence (LOA)**

To initiate reinstatement to the program after an LOA, a student must submit a reinstatement request in writing to the Associate Dean of Academic Affairs by the deadline indicated on the letter granting their leave.

Upon return from a leave of absence (LOA), the Associate Dean of Academic Affairs (ADAA) will configure the remainder of the student's course requirements in order to be consistent with current M.S.W. program policies. If there have been changes in graduation requirements while the student has been on LOA, the ADAA has the discretion to create alternative curricular structures that are consistent with faculty policy to meet the student's graduation requirements.

## **600.4 Withdrawal from the Program**

Students may apply in writing to the Associate Dean of Academic Affairs for withdrawal from the program at any point in the program.

## **600.5 Readmission**

A student who has withdrawn from the School and who seeks to return to the program must reapply to the School.

A student who is readmitted to the School will be granted credit for successfully completed academic units taken previously in the program only if no more than three years have elapsed since the date of the original withdrawal. This three-year period would include a leave of absence if one has been granted.

Students readmitted to the program will need to complete the current degree requirements. Doctoral students who withdraw having completed all coursework, with the exception of the dissertation, will be permitted to re-enter the program as a Post-Resident student.

## **600.6 Notation on Student Records**

If a student goes on a leave of absence with the permission of the Associate Dean of Academic Affairs, the official record of the School will indicate "Leave of Absence" followed by the start and end dates of the leave.

If a student whose academic work is in good standing withdraws from the School, the official record of the School will indicate "Withdrawn."

If a student withdraws with the permission of the Associate Dean of Academic Affairs after an Academic Progress Review has been called but before the Review has been held, the official record of the School will indicate "Withdrawn."

If a student withdraws without the permission of the Associate Dean of Academic Affairs after an Academic Progress Review has been called but before the Review has been held, the official record of the School will indicate "Withdrawn Pending Review."

If a student withdraws while on probationary status the official record will indicate "Withdrawn on Probationary Status."

# 700 Student Records

## 700.1 School Policies & Procedures in Accordance with FERPA

This statement is issued by Smith College School for Social Work in accordance with the United States Family Educational Rights and Privacy Act of 1974 (FERPA) as amended. The purpose of the act is to give students and former students access to their official records at the college, to provide an opportunity to correct inaccurate or misleading statements and to ensure that records are not released to unauthorized persons without the consent of the student.

According to the terms of the act, access may be provided to administrative officers and members of the resident and adjunct faculty who have legitimate interest; to certain specified agents of the government for the purposes of enforcement and study; to military personnel for recruitment purposes; and to other educational agents and institutions in connection with applications for admission and requests for financial aid. All authorized persons outside the college who request access will be required to file a written, signed statement of purpose; this statement will be kept on file and will be made available for inspection only to the student upon request.

Transcripts of or information concerning student records will be released to other persons outside the college only with the written consent of the student or upon subpoena, in which case the student will be notified. The act stipulates that the student's written consent indicates which records are to be released, the reasons for such release and to whom the copies are to be released. A copy of the material to be released may be requested by the student.

Certain information, designated as "directory information," may be released without prior consent. Such information at Smith College includes name, home address (while in college), college address and telephone, email address, dates of attendance, major, degrees (including dates) and awards, extracurricular activities (if known), previously attended institutions and pictures. You may withhold the release of this information by completing the appropriate form available annually at Central Check-In or in the SSW Registrar's Office in Lilly Hall. Written authorization to withhold directory information must be made each academic year and must be submitted within three days of the start of the summer academic session in order to ensure non-disclosure in printed materials.

Students' official records include records, files, documents and other materials containing information directly related to a student that are maintained by the college. They do not include notes kept by instructors, advisers, administrative personnel or Deans for their own use and available to them only; such notes are maintained by individual administrators and are destroyed when no longer relevant or useful.

Student records at Smith are described below. Procedures for students who wish to consult their records are as follows:

- Submit a request in writing to the Registrar Office; the record will be available for inspection five work days after the date of the request.
- Requests to see records in the Lazarus Center or Accessibility Resource Center should be made to each respective office.
- Students who have questions about their immunization records and the use of them are referred directly to Smith College Health Services.
- Questions concerning the files or requests for correction should be made in writing to the Registrar Office or the director of the Career Development Office, in the case of Lazarus Center files, to be brought to the attention of the official in charge of the particular record. If the official in charge is not able or willing to make the correction requested, the case shall be brought to the registrar, Associate Dean and Dean.

## **700.2 Records Kept by the Registrar's Office**

Permanent academic records are maintained online, and hard copies are maintained in the Registrar's Office in Lilly Hall or in the College Archives. They are available to the student and to administrative officers and members of the resident and adjunct faculty of the School who have legitimate need for access.

The official transcript includes name, dates of attendance and notations of leave of absence or withdrawal, notation of probation, course numbers, titles, credits, grades, internship agencies and grades, degree and date. Any credits transferred from other colleges toward the social work degree are also listed. Copies of transcripts ordered by students to be sent outside the college contain this information.

The permanent student file includes:

1. Grades submitted by summer teaching faculty;
2. Student learning plan for practicum internship;
3. Faculty Practicum Adviser practicum visit reports;
4. Supervisor's final practicum evaluation for each year in the practicum;
5. Research practicum evaluation (if applicable);
6. Faculty Practicum Adviser's final summary of student's practicum internships;
7. Final transcript;
8. Summary document of Academic Progress Review (if applicable) and documentation of any subsequent resolution of sanctions arising from the Review, if applicable (see [500.3.6 - Notification of the Review Outcomes](#)).

## **700.3 Records Kept by the Student Financial Services Office**

For students receiving financial aid, the Student Financial Services Office maintains a financial aid file containing the following information:

- Student's application form and all application materials;
- Financial analysis of the student's application;
- Award letters to the student from the Committee on Financial Aid;
- Source-of-Award letters to the student from the Committee on Financial Aid;
- Loan application material;
- Miscellaneous correspondence;
- Copies of student's and parents' (if applicable) tax forms;
- Student Agreement/Title IV Authorization Form.

This information is available only to the members of the Student Financial Services Office and the Committee on Financial Aid. Under the Rights and Privacy Act, the School cannot release to a student that portion of the financial aid application containing parental financial information, the financial analysis, or copies of the parents' tax forms. Information on students receiving financial aid is kept for five years after the student's graduation or departure from the School.

## **700.4 Records Kept by the Office of the Dean**

The Office of the Dean maintains materials on file pertaining to student consultation, reviews, leave of absence, and withdrawal.

## **700.5 Records Kept by the Office of Practicum Learning**

Practicum internship forms and materials are maintained by the Office of Practicum Learning. Students may access these files by request; these materials are otherwise only used by SSW faculties relevant to the practicum internship process and except as noted above are kept until the student graduates or permanently leaves the program.

## **700.6 Records Kept by the Accessibility Resource Center**

This information is accessible to disability services office professional staff and Deans:

- Disability identification form;
- Documentation of disability which has been submitted by the student;
- Correspondence with the student;
- Correspondence with faculty and other administrative offices, which has been authorized by the student.
- Release of Information Informed Consent Form

# 800 Financial Matters

## 800.1 Refund Policy

Any student who officially withdraws from the School according to the procedures outlined under the section entitled “Withdrawal,” is dismissed from the School, or who goes on a leave of absence will have their fees and aid, including all institutional and federal student aid, prorated using the same methodology prescribed by the Department of Education for federal student aid as follows:

The official date of withdrawal or leave will be used to determine what percent of the billing payment period the student has attended using a daily proration schedule. If the student leaves within the first 60 percent in the billing cycle, fees and aid will be prorated accordingly and any unused federal funds will be returned to the Department of Education. If, after the necessary proration is completed there is a credit balance from a direct payment made by the student, those funds will be returned to the student. If the withdrawal or leave occurs after the 60 percent point in the billing cycle, all charges and aid will be considered to have been used and no proration will occur or aid returned.

## 800.2 Financial Assistance

### 800.2.1 Master's Program

Financial assistance is available to students in the master’s program. Awards are based on financial need, with an additional commitment to those who have demonstrated a commitment to the primary mission of the social work profession according to the National Association of Social Workers Code of Ethics.

Because resources are limited, students are expected to use personal, family and loan resources to the fullest extent possible. The School is not able to meet full expenses for a student’s graduate program. Every effort is made to assist students in obtaining educational bank loan funds.

To maintain maximum objectivity and standardized criteria in analyzing each student’s financial circumstances, the School utilizes the FAFSA Form; for more information go to: Tuition and Financial Aid.

Financial aid awards are made for a 12-month period and students must submit a second application for assistance for their second year of graduate study and a third application for their final summer. Although every effort will be made to continue financial assistance, the School can make no guarantee that this will be possible.

Because of limited financial aid resources, and because the third ‘year’ is just 10 weeks, the final summer grant is awarded on a sliding scale; merit awards do not carry over to the final summer, only need-based aid is available.

If a student departs from the School, any financial aid award will be adjusted to be consistent with the Refund Policy.

Financial aid payments will be discontinued for any student who departs from the School.

## **800.2.2 Doctoral Program**

Very limited financial assistance is available to students in the Ph.D. Program. Students are expected to use personal, family, and loan resources to the fullest extent possible. Every effort is made to assist students in obtaining educational bank loan funds. To maintain maximum objectivity and standardized criteria in analyzing each student's financial circumstances, the School utilizes the FAFSA form; for more information go to: Tuition and Financial Aid.

## **800.3 Fees and Expenses**

Returning from a leave of absence or repeating a portion of the program:

Students who will return to the program from a leave of absence or who will repeat a portion of the program should check with Student Financial Services regarding tuition charges.

Students will not be permitted to register or continue in practicum internships if bills are not paid. All college bills must be paid before a student will be granted a diploma.

Should the School submit a student bill to a collection agency, the student will be subject to collection charges in addition to the outstanding balance (approximately one-third of the balance).

## **800.4 Post-Residency Enrollment Fees**

Ph.D. students who have completed their course work and are still working to complete their dissertations will be enrolled automatically each year as continuing students for the winter session (Term 1 covers September through December; Term 2 covers January through April). There are no credits during the Post-Residency period; credits are awarded at the completion of the dissertation. Students enrolled for dissertation study will be billed a continuing enrollment fee of \$500 per winter term; failure to pay Continuing Enrollment Fees will result in dismissal from the program.

Payment of the continuing enrollment fee entitles the student to dissertation advising services from the research supervisor or dissertation chair. Post-residency Ph.D. students maintain their eligibility to work towards the degree by paying the Continuing Enrollment Fee. This fee may be waived only during an official Leave of Absence.

### **800.4.1 Waiver of Post-Residency Enrollment Fees during Leave of Absence**

On occasion, circumstances may arise that preclude a post-residency student from active work on the dissertation for one or more winter terms. Under such circumstances, the student may request a Leave of Absence. (Refer to the section in this Handbook covering Leave of Absence.) Continuing enrollment fees may be waived only if the student's written request is received by the Associate Dean by the qualifying date. To qualify for a waiver of Term 1 fees, the written request must be received before

August 15th. To qualify for a waiver of Term 2 fees, the written request must be received before December 1st. If the written request for LOA is not received by these dates, applicable continuing enrollment fees will be charged.

## **800.5 Library Fees**

Each student is responsible for all materials signed out from the library in their name and will be charged a replacement fee in addition to the cost of any material that is not returned. All materials must be returned to the library and fees paid before a student may receive a diploma.

## **800.6 Miscellaneous Fees**

Other miscellaneous fees will be charged to a student's account, if applicable. All miscellaneous fees must be paid before a student may receive a diploma.

## **800.7 Late Fees**

A late fee of 1.25 percent per month (15 percent per annum) will be assessed for balances that remain unpaid past the due date.

Students will not be permitted to register, continue in practicum internships or enroll in post-residency advising if they have not been cleared by Student Financial Services. All school bills must be paid before a student will be granted a diploma.

## **800.8 Pro-Rated Fees**

Pro-rated fees will be charged to students who are enrolled in less-than-half-time status and who continue to work in the practicum, or community based anti-racism experience. These fees will vary by circumstance.

## **800.9 Health Insurance**

Health insurance is mandatory for all full-time students. Students will be automatically enrolled in the School's health insurance plan, but may waive out of this plan if they have an alternative qualifying plan. Students must be enrolled at least 3/4 time in order to qualify for Smith's health insurance plan; if a student's status drops to less than 3/4 time their coverage may be discontinued.

For details on health insurance, costs and deadlines, go to Health Insurance on the website.

## **800.10 Campus Housing**

The School for Social Work has on-campus mixed-gender housing available during the 10-week summer academic session in certain undergraduate dormitories for students who choose to live on campus. The Housing and Meal fee includes the assigned unit and twenty-one meals per week for the duration of the 10-week summer academic session. Each student is responsible for the full housing and meal fee, which will be charged to the student's account prior to the start of the academic session.

Any student who officially withdraws from the School according to the procedures outlined under the section entitled "Withdrawal," is dismissed from the School, or who goes on a leave of absence will have their housing and meal costs prorated using the same methodology as detailed in the section entitled "Refund Policy." Any student who indicates they will be living on campus and subsequently informs the Housing Coordinator that they will not be utilizing on-campus housing will have their housing and meal costs prorated using the following schedule: 100% refunded before May 1st, 90% refunded from May 1st to the first day of classes, 80% refunded by the first Friday of the summer academic session, no refunds of housing and meal costs will be made after the first week of classes. Exceptions to the refund schedule may be considered for extraordinary circumstances.

Any student who is assigned on campus housing must agree to and abide by the terms of the Housing Contract or risk losing campus housing.

# 900 Campus Life and Responsibilities

## 900.1 [Smith College Social Events Accessibility Policy](#)

Smith College is committed to compliance with both the spirit and the letter of the Americans with Disabilities Act. The goal of the college is to assure non-discrimination, to respond proactively in instances of discrimination, and to reasonably provide for full participation of persons with disabilities in all aspects of campus life.

The following entities and activities are considered public accommodations under the ADA: establishments serving food or drink; theatres; lecture halls; concert venues; sports facilities; places of exhibition, entertainment and recreation; and private undergraduate and postgraduate schools.

Any activities planned and scheduled to take place on the Smith campus that are open, or advertised as open, to the Smith community, the Five College community, or the general public should be accessible to persons with all types of disabilities.

### **Accessibility of Campus Events**

All-campus parties must be held in locations that are accessible to persons with mobility impairments. Any questions should be directed to the Accessibility Resource Center (ARC) by calling 413-585-2071 or emailing [arc@smith.edu](mailto:arc@smith.edu)

For all organizations and houses hosting private events, if the event location is not accessible and guests with mobility impairments will be attending, arrangements should be made ahead of time to accommodate them or to reserve another location. If these arrangements have not been made, the organization or house will be unable to host the event. Questions should be directed to the Accessibility Resource Center (ARC) by calling 413-585-2071 or emailing [arc@smith.edu](mailto:arc@smith.edu)

Responsibilities of event planners include the following:

- Reserving a location, which is accessible to persons with mobility impairments, including wheelchair users, and advertising the event as accessible. Symbols which denote accessibility are available upon request from the Office of Student Engagement.
- Consulting the accessibility information table in the appendix of the [Guide to Student Organizations and Event Planning](#) when determining potential locations for your events.
- Requesting and paying for sign-language interpreters, assistive listening devices, live captioning, and CART or other live transcription if requested at conferences, public lectures, concerts, etc. (Planners may say in publicity materials that such

accommodations will be provided if participants request them at least two weeks ahead of time, and if service providers are available.

- For assistance with Sign Language interpreter, CART, or ALD requests, please contact the Accessibility Resource Center (ARC) at least two weeks in advance of the event by calling 413-585-2071 or emailing [arc@smith.edu](mailto:arc@smith.edu).
- Advertising events in various media (i.e., both audio and visual formats).
- Making available large-print copies of programs or other printed materials that may be handed out at events.
- Sending an email to the Accessibility Resource Center (ARC) regarding any event which accommodates persons with disabilities.
- Asking all invited guests and participants whether they will need accommodations.

The Accessibility Resource Center (ARC) is available to provide accessibility assistance to student organizations. For any questions related to the responsibilities outlined in this document, please contact the Accessibility Resource Center (ARC) by calling 413-585-2071 or emailing [arc@smith.edu](mailto:arc@smith.edu)

## **900.2 Using Social Media in Professional & Educational Endeavors**

Social media includes many widely used forms of electronic communication (Facebook, Twitter, LinkedIn, YouTube, Instagram, SnapChat, microblogs, websites, etc.) allowing users to create online communities and to share information, messages, and other content. It offers quick and effective ways to stay in touch with family, friends and colleagues. It is vibrant and immediate. It also offers many ways to make new connections and has been widely used to promote political advocacy and social justice. Social media can be a valuable part of professional and personal activities, but must be used thoughtfully and in accordance with the NASW Code of Ethics (2008), within the confines of agency policies, the policies of the Smith College School for Social Work, and all local, state and federal laws.

When used in relation to one's professional activities, social media deserves some careful consideration. There are legal risks, ethical risks and pragmatic risks along with social media's many merits. Be mindful that once information is posted on social media it may be impossible to delete. The technology for capturing online information is already well developed. You may not be able to retract or correct any information you post - forever. Recent newspaper reports indicate that employers are increasingly checking job applicant's social media sites and using the data they find for formal and informal decision-making. Both your personal and professional information may be checked by employers and others.

Learning about, carefully setting and regularly reviewing the privacy settings and other features of any social media you use is wise for all professionals. A simple search will identify many sites to help guide you about using social media programs. However, bear in mind that many of

these sites are business oriented and assume you mainly wish to build referral traffic. Social workers must carefully distinguish their personal and professional uses of social media. For social workers, one helpful starting point is the University of Texas at Austin's "How to Manage Your Social Media Privacy Settings." It is wise to review your online presence as a client or employer might do.

Several ethical obligations must be kept in mind. First, discussion or disclosure of client information without documented client consent is prohibited by law, institutional policies and social work ethics. Federal HIPPA regulations, state licensure and practice laws and agency policies all prohibit disclosure of client information to others not directly charged with the client's care. Professional advice should never be offered outside an agency or practice setting. Social workers should always practice in their areas of competence in defined relationships to clients (NASW Code of Ethics, Section 104).

Second, social work professional ethics also prohibit discussion of client information outside of direct work activities. It is inappropriate to refer to clients, client situations, supervisors or practicum agencies on social media regardless of efforts to restrict or limit access to the information. The NASW Code of Ethics, Section 1.07 (i) states that "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." Social media are effectively public or semipublic locations. The Code also states that "(k) Social workers should protect the confidentiality of clients when responding to requests from members of the media." Even restricted access social media sites may be viewed as media outlets. If you are speaking for an agency or group, (and only ever with explicit written permission and direction from that group) you should use their name to be transparent to other users. Only use your institutional affiliation when you are making professional postings, never for personal ones.

Third, the NASW Code of Ethics, Section 2.01 states that "(a) Social workers should treat colleagues with respect and should represent accurately and fairly the qualifications, views, and obligations of colleagues, and (b) Social workers should avoid unwarranted negative criticism of colleagues in communications with clients or with other professionals." Postings on social media about other professionals and about professional matters should be respectful, fair, accurate, and without undue criticism, including practicum agencies and their personnel. Your colleagues deserve to be treated with the same dignity and respect as social workers treat our clients. Hasty social media postings may violate these standards, make the evidence of such an infraction widely known, and may be difficult or impossible to undo.

Agencies and institutions have the authority to ask social media organizations to refuse, or to terminate, social media groups that use their institutional names. The reputation and social 'face' of an institution may be enhanced or undermined by social media sites, and thus these agencies and institutions have rights to limit how their names and images are used. Many names and images are copyrighted or trademarked. Using such names and images may violate

the law. Always ask for approval before using institutional or agency names in online posts. If you need to make an institutional connection, ask permission from the Director or Dean before making any post including institutional names, content or images.

Finally, any academic process or information that is considered confidential should not be shared publicly on social media. This includes, but is not limited to professional review proceedings or information about other students' professional performance.

Failing to use professional judgment when using social media may harm you, colleagues and clients. Professional conduct on social media deserves appropriate care. Failing to meet the policies of Smith College School for Social Work, laws, agency policies, NASW Code of Ethics and can lead to consultation, review and potentially dismissal from the program. It may also lead to external actions through professional sanction or legal suit. Use social media wisely and with care when it has any link to your professional activities.

## **900.3 Housing**

### **900.3.1 Community Living and Responsibility**

Residential life at Smith is considered an important part of community life. Smith is committed to a co-curricular environment that enhances and enriches the academic program: residential living is an integral part of that education. At its best, residential living fosters a sense of community and encourages a wide range of ideas. Each house guest is challenged to balance the freedom of an individual with their own self-direction and respect for the rights of others. These expectations are not always reached however, as interpersonal tensions, value conflicts and discomfort caused by close community living are not unusual. Learning to respond, to take responsibility for oneself and to overcome adversity are important elements of personal growth and of the Smith education. Every member of the Smith community is entitled to be treated with respect. Behaviors that show disrespect for individuals or groups will not be tolerated. The ability to deal with complex issues and to resolve conflict will serve each member of our residential community well at Smith and in the wider world.

Residential community members (residents) are responsible for meeting all deadlines and reading all published information, which includes but is not limited to: email messages, the [housing contract](#), eDigest and other posted notices.

The college reserves the right to move a guest from one house to another, to remove them from campus housing or even to dismiss them from the college if it is found that they cannot function as a cooperative member of their house or of the college community.

Residents members who do not accept the responsibilities of community living may be referred to a variety of college proceedings. Referral may be made to local law-enforcement agencies,

Campus Safety, the Office of Equity and Inclusion or the dean of the SSW depending on the nature of the behavior.

### **900.3.2 Housing Policies**

All requests for housing must be made by the published housing request deadline. Housing may not be guaranteed for those who request housing after the deadline.

Housing is only extended to enrolled students or to those who are teaching on campus. All information about house opening, closing and key pick-up will be made available in the communication that confirms housing assignments and is [also available on the SSW website](#). Residents who are delayed in vacating their room by the assigned date will be charged a fee.

The college reserves the right to enter any room at any time deemed necessary, whether or not the resident residing in the room is available. The purposes for entry include inspection for compliance with college policies including health and fire regulations, inspection and inventory of college property, maintenance of security and necessary building maintenance. Every reasonable effort will be made to respect the privacy of the occupant(s). Persons other than designated college officials should under no circumstances enter a resident's room without permission.

### **900.3.3 House Rules**

Each resident is responsible for appropriate use of the living rooms, study areas and recreational rooms in the house. Viewing of or participation in the production of pornographic materials, or in hosting a stripper, in public areas of the house is strictly forbidden. Common area spaces may not be used for personal storage or overnight guest lodging. Twenty-four-hour courtesy hours are always in effect in all houses. Courtesy hours are defined as noise being heard no further than two doors away from a resident's room whose door is closed. Each house will have a minimum of 8 quiet hours a night. Quiet Hours cannot start later than 11pm on weekdays and 1am on weekends (Friday and Saturday). Quiet Hours are defined as noise that can be heard outside of a resident's room when the door is closed. Quiet hours in each house will be voted upon by the house at the beginning of each semester. Violators will be subject to disciplinary action.

Posters, notes, signs, table tents and other flyers posted in houses are to be signed by the individual person or organizational group posting them. These items will be removed if unsigned. House meetings are mandatory for all residents.

Residents of a house must abide by college regulations and house regulations established in accordance with college policy.

In any group living situation, there may be times when individuals infringe on the rights of others. (Excessive noise and inappropriate guests are examples of this.) Residents are responsible for communicating any concerns directly to the other individuals involved in a constructive and reasonable way.

Sometimes a resident may be uneasy about how to approach a particular person or deal with a specific situation. The House Resident, the Housing Coordinator or the Associate Dean for Student Services are all available to assist if necessary.

If a resident's initial attempt does not resolve the problem, or if any individual or group is repeatedly disrespectful of the rights of others or fails to abide by the college's expectations or the regulations established by the house, the following may be used to deal with the situation:

1. The House Resident may speak to the individual or group involved.
2. The Associate Dean for Student Services can reach out to the Sotomayor Fellows to help mediate the issue
3. If the conflict continues, the Housing Coordinator, the House Resident and/or the resident may consult with the Associate Dean for Student Services for additional assistance or intervention.

Residents should make themselves knowledgeable about their rights and responsibilities within the dorm/house. If a resident feels that the house community is not functioning effectively or responsive to their concerns, they should consult with the House Resident or the Housing Coordinator for assistance.

Physical altercations or assaults by residents or guests will not be tolerated. Violators of this policy will be subject to disciplinary action.

Theft of personal or college property is illegal. Persons in violation of this policy will be subject to campus disciplinary action and/or Massachusetts state law.

#### **900.3.4 House Security**

The safety and security of residents and their houses are matters of serious concern, and all residents share the responsibility for house security. Exterior house doors are always kept locked and should not be held open by props or wedges. Visitors are expected to call the person they want to see and be escorted at all times they are in or around the building.

Abuse of house regulations resulting in behavior that causes hazard, injury or inconvenience to members of the community or to the college is subject to disciplinary action. These matters may be referred to the Deans' Office for resolution.

Residents must not violate provisions of a Massachusetts buildings code or state fire and health regulations. Residents are not permitted on the roofs, ledges or balconies above the first floor of buildings. Fire escapes should be used only for emergency exits. Violators will be subject to disciplinary action.

# 1000 Policies of Smith College

Smith College School for Social Work students are obligated to know and adhere to the policies of Smith College.

[1000.1 Statement of Academic Freedom and Freedom of Expression](#)

[1000.2 Policies Concerning Freedom of Expressions and Dissent](#)

[1000.3 Smith College Equal Educational Opportunity Policy](#)

[1000.4 Smith College Sexual Misconduct Policy](#)

[1000.5 Smith College Policy on Substance Abuse and Substance Use](#)

[1000.6 Smith College Policies Regarding Alcohol](#)

[1000.7 Smoking Policy](#)

[1000.8 Pranks and Hazing](#)

[1000.9 Disability Services Policy](#)

[1000.10 Service and Support Animals Policies](#)

[1000.11 Parking Policies](#)

[1000.12 Smith College Policy on Chalking](#)

[1000.13 Posting of Information](#)

[1000.14 Firearms Policy](#)

[1000.15 Missing Student Policy](#)

[1000.16 Bicycle Policy](#)

[1000.17 Smith College Social Events Policy](#)

[1000.18 Policy on Use of Email for Official College Communication](#)

# 2000 Doctoral Program: Clinical Internship

The policies found in section 2000 are specific to the doctoral program and do not apply to master's students.

## 2000.1 Educational Objectives and Components

- Students advance their clinical skills
- Reflect upon the integration of theory and practice
- Systematically study clinical processes in depth
- Think critically about their knowledge, values, and skills
- Gain advanced competence as scholars in research and teaching

Students will complete two 8 month clinical internships over the course of their residency; one in the first year, and one in the second year. Most students develop work-study internships within their places of employment.

Others develop internships at sites or agencies around the country. Students must complete arrangements for clinical internships, including supervision, before beginning their first summer of classes. Arrangements are to be made in consultation with the Director of Practicum Learning and the site. Final approval for the clinical internship, including supervision, must be obtained from the Director of Practicum Learning in conjunction with the Program Director. Students will also participate in a mentored seminar during the first year internship. The seminar helps prepare students for the written and oral exams. The cohort meets online 6 times during the internship year. Post-Resident students are selected to facilitate the seminar.

The written and oral clinical qualifying exams are given at the end of the 1st year clinical internship session. The second year clinical internship includes a learning plan and the internship.

## 2000.2 Grading of the Clinical Internship

The Clinical Internship is graded on a Pass (P) / Fail (F) basis. For the 1st year clinical internship, the final grade is made up of three components:

1. the grade for clinical internship, including passing all assignments as listed on the course syllabus for each practicum year;
2. the grade for the Written Clinical Qualifying Exam; and
3. the grade for the Oral Clinical Qualifying Exam.

The written and oral clinical qualifying exams are given at the end of the 1st year clinical internship session. Both exams, as well as the clinical internship component, must be passed before a student's transcript will show a grade of Pass for the 1st year clinical internship.

The student must receive a final grade of Pass in their first year clinical internship to advance to the second summer. A student receiving a grade of F in either of the two clinical internship sessions will not be permitted to continue on to the next academic and would be grounds for dismissal from the Program.

## **2000.3 Internship Site**

The internship site supports advanced clinical education for social workers and accords priority to students' learning needs during the clinical internship by providing the following:

- Opportunities for intensive treatment, including treatment over a two- year period, with a varied patient population.
- An emphasis on individual treatment with adults 17 and up, as well as opportunities in a range of treatment modalities (i.e., couple, family, and group treatment, short-term treatment, etc.).
- Supervision by a Ph.D. level clinical social worker who meets the School's criteria is preferred. If not available, an advanced, dynamically oriented practitioner from another discipline may be proposed. - Regular consultation with senior staff involved in specialized areas of practice is desired. (i.e., couple, family, and group treatment, child treatment, adult treatment, etc.)
- Supplemental educational resources, such as staff conferences where clinical data are examined from theoretical and dispositional points of view. Whenever internship sites offer educationally relevant seminars, it is expected that students will have access to these learning opportunities.
- During the 2nd-year internship, opportunities for pertinent professional experiences in consultation, clinical teaching and training opportunities, and supervision.

Smith Ph.D. students are required to complete 24 hours weekly at their clinical internships between the beginning of September and the end of April. This may include, among other duties, seeing 8-10 clients weekly, staff meetings, training provided by the agency, grand rounds, and documentation requirements. Students may be paid or unpaid as clinical interns, as the agency structure allows. Our students are most often social workers who have been working in the profession. Some placements offer in kind supervision and training opportunities.

Many social workers and clinicians are working in private practice settings, whether their own or someone else's private group practice. Students may elect to use private practice as the practicum when certain criteria are met.

The student in private practice must have a broad range of clients who are diverse in diagnosis and presenting concerns, age, cultural, racial, and identity factors, and gender and gender expression among other differences. The practice may be a specialized practice that is serving a historically marginalized group or groups. The private practice must have the capacity to take insurance including medicaid/medicare and/or would have pro bono options for clients who otherwise might not be able to access psychotherapy. All of the criteria for caseload and extra clinical training opportunities must be met. If possible the student should connect with opportunities for advocacy, teaching, supervision, and may participate in an outside clinical consultation group or community coalition. The Director of Practicum Learning must approve the private practice site.

### **1. Administrative Supervisor**

The clinical internship at the training center is supported by an Administrative Supervisor, the person at the agency who is responsible for:

- Ensuring that the student is provided with the caseload and learning opportunities outlined here.
- Ensuring that there is adequate time for clinical supervision
- Ensuring that time is allotted for qualifying exams
- Where appropriate, helping the student gain experience in providing training and supervision, as well as ensuring access to training and other learning opportunities at the agency

Administrative Supervisors are not considered Primary Supervisors unless specifically assigned this responsibility from the Clinical Director.

### **2. Caseloads**

Students are expected to spend a minimum of 3 days a week in clinical practice at the internship site. Cases should be practiced in ways that allow for the integration of psychodynamic psychotherapy.

- Students are expected to have 8-12 clinical hours a week of direct client contact, mostly with adult individuals during the 1st yr.
- It is expected that students will carry 3 or 4 clients over both years of clinical internship. Those students expecting to return to an internship site for a second year should arrange to maintain contact with continuing cases.
- The agency or student for the 1st year should be prepared with at least 3 clients who will be ready to start treatment at the point of entry into the internship site.

### **3. Extra Clinical Learning**

Students should seek out additional learning opportunities (e.g., in-service training, consultation, seminars, etc.) within the training site and the community, including any learning opportunities that are within a reasonable commuting distance.

#### **4. Technology & Telehealth**

The introduction of technology into social work practice has presented the opportunity for social workers and therefore, students, to practice using special apps, portals for communication, and digital telehealth platforms like Zoom and Doxy to provide face to face services. This in turn has created challenges in jurisdictional regulation regarding confidentiality, risk, responsibility, and liability. Liability, ethics, and risk are the same when using telehealth as they are for in-person work. Just as in in-person clinical work, students are expected to abide by NASW standards including the protection of client private health information, respect for clients, client confidentiality, and professional practice ethics.

Students who will be practicing telehealth at their agencies are expected to participate in any required training in technology and telehealth practice and to follow protocols and regulations set forth in their placement agencies. In addition, students may be provided the use of agency owned technology, digital platforms, and equipment and must adhere to agency policies.

#### **5. Permitted Holidays during the Clinical Internship**

Clinical Internship runs from early September through April. The School prepares a yearly calendar indicating beginning and ending dates for clinical internship as well as dates for School-permitted holidays occurring during this period. Internship sites may observe additional holidays; students are permitted these times off as well. Students who wish to take additional time in accordance with personal beliefs should coordinate with the internship site.

### **2000.4 Clinical Supervision**

Ideally, the student will use a Primary Clinical Supervisor who is a senior clinician (social worker, psychologist, psychiatrist), and in most cases, a Secondary Clinical Supervisor. While clinical supervision by a senior social work clinician is considered important, not all clinical supervision needs to be with a social worker.

#### **1. Supervisory Guidelines**

- Students are to have 2 hours a week of clinical supervision by a psychodynamically oriented supervisor (or 1 hour per week by each of 2 different psychodynamically oriented supervisors).
- Supervision should focus largely on individual treatment but should also cover other modalities the student may be using.
- Supervisors should be able and willing to teach from process recordings.

- Primary Clinical Supervisor has responsibility for coordinating student's overall learning in the practicum learning and for submitting 4 performance evaluations of the student's clinical work over the course of the clinical internship session.
- Supervisors must be available to meet 2 times a year with the student's Practicum Faculty Adviser when the PFA makes their visit to the student's clinical internship.
- 1st year supervision. Supervisors help the student prepare for the clinical qualifying exams. Students are expected to know, apply, integrate, and critique advanced psychodynamic theories (drive, ego psychology, object relations, self psychology). Not every supervisor is expected to be well versed in all four theories; however, they should be versed in at least two of them.

## **2. Supervisory Evaluations**

Primary Supervisors are asked to comment twice a year on various aspects of the student's performance in the internship. Narratives are completed by supervisors via Sonia, the system program utilized by the School. Students are expected to participate with their supervisors in the evaluation process and to acknowledge each report through Sonia.

## **2000.5 Ph.D. Practicum Faculty Adviser (PFA)**

The Practicum Faculty Adviser (PFA) is responsible for overseeing the student's 1st and 2nd year clinical internships. PFAs typically support the student both years. PFAs are members of the School's resident and adjunct faculty, and also may be appointed by the School. PFAs serve as teaching, mentoring, evaluative, and administrative liaisons between the student, the School and the placement. They monitor caseloads and supervision, grade and provide comprehensive feedback on students' practicum learning assignments, and serve as consultants on problems that may arise in the internship. Entering students are assigned PFAs during the summer. The PFA will contact the student's supervisor/s at the start of the internship to introduce themselves and to orient the supervisor/s to the learning goals. In the 1st year clinical internship, PFAs support students in organizing a study plan to prepare for the clinical qualifying exams and coach them toward readiness. The PFA sits on the oral exam panel for their student. Three Panelists that include the PFA, the Clinical Coordinator/Practicum Learning Director, and one other faculty panelist evaluate the student and the grade comprises those three perspectives.

### **1. PFA Internship Visits**

PFAs schedule internship visits, via Zoom, once in the Fall and once in the Spring to evaluate students in their clinical internship settings. They meet with students for a minimum of 2 hours to discuss written assignments, process recordings, and other case materials; to frame areas for further learning; and to help organize and prepare for exams. PFAs also meet with the student's supervisor/s to review progress, troubleshoot issues or dilemmas and maintain orientation to the Smith SSW Ph.D. program. Internship visits may require up to half a day, depending on the

agency and student. It is the student's responsibility to make all meeting arrangements. All visits are virtual.

## **2. PFA Internship Visit Reports**

Following their Fall and Spring internship visits, PFAs complete an Internship Visit Report via the Sonia practicum learning database, the platform utilized by the Smith SSW. Students receive reports, and are expected to acknowledge each report, via Sonia.

## **2000.6 Student Practicum Learning Assignments**

Students are required to complete assignments during the practicum learning year. Assignments are maintained in the Sonia practicum learning database for review and grading by the PFA and the Clinical Coordinator/Practicum Learning Director. PFAs will retrieve and upload assignments using the Sonia practicum learning database. Students are expected to complete all assignments by the final day of internship as noted in the SSW and Ph.D. calendars. Exceptions are to be discussed with the Clinical Coordinator/Practicum Learning Director or designee.

Students will receive syllabi for each practicum year at the end of first and second summer session respectively.

## **2000.7 Standards of Performance for the First- & Second-Year Clinical Internships**

### **1. First-Year Clinical Internship Standards of Performance**

While each class is made up of students with a range of experience and knowledge, it is expected that students will expand their knowledge and skill beyond their individualized beginning points. Progress in clinical learning is measured, therefore, in terms of the following criteria and individualized beginning points. During the internship, the first-year student should gain the knowledge, values, and skills to demonstrate:

- The use of social theories in understanding, analyzing, and intervening in the client's social contextual conditions
- The capacity to take a critical, reflective, "meta" theoretical stance, appreciating the contextual nature of theories and the ways in which each theory assigns different meanings to the same material
- The capacity to make informed biopsychosocial assessments and to develop treatment plans with specific clinical interventions that follow from those assessments
- The ability to reflect upon those social structures that maintain discrimination and inequity and to selectively identify strategies for change

- The capacity to establish and maintain clinical relationships with a range of diverse clients
- The capacity to set long- and short-term goals including clinical case management
- The capacity for self-awareness and for the differential use of self
- The capacity to understand and evaluate the working alliance, transference, and countertransference
- The capacity to show evidence of the effectiveness of practice using process recordings
- The capacity to evaluate clinical processes using data as clinical evidence
- The capacity to make effective use of clinical supervision
- The capacity for ethical practice based on the NASW Code of Ethics

## **2. Second Year Clinical Internship Standards of Performance**

The goal for the second year is to prepare students for a range of leadership roles in clinical social work. In addition to increasing their clinical knowledge and skill, students are now expected to gain teaching experience, whether as classroom teachers, supervisors, and/or consultants, and expected to demonstrate:

- Deepen the capacity to critically examine and apply a variety of practice modalities as strategies for change, including individual, group, and family therapy
- The capacity to critique advanced theories and practice based on research findings for their fit with clients' needs and contexts
- The capacity for differential uses of self, including transference/ countertransference and intersubjectivity
- A more advanced ability to reflect upon those social structures that maintain discrimination and inequity, and to selectively identify strategies for change
- An advanced capacity to synthesize social and psychological theories and their application to biopsychosocial assessments and treatment processes
- An advancing capacity to select from among biopsychosocial theories and treatment modalities, using time limits and other parameters with a clearly articulated understanding of the gains and losses inherent in any clinical decision
- An understanding of the specific and differing meanings of treatment interruptions to clients, especially those whose long- term therapy was interrupted during the summer academic session
- The ability to critique social policies that contribute to inequities, conflicts, and barriers to delivery in mental health service models, including the effects on the clinical process
- A more advanced capacity to evaluate process and outcomes in practice
- Leadership in teaching writing, program development, consultation, or administration

## **2000.8 Clinical Advanced Standing**

Applicants who have been accepted in the Ph.D. Program may petition to enter with Clinical Advanced Standing status. The option is available to meet the needs of the rare applicant for

whom our standard two years of supervised advanced clinical practice would be truly superfluous. Clinical Advanced Standing status is achieved by taking and passing the clinical qualifying exams before commencing the first summer of coursework, rather than taking them at the end of the 1st year clinical internship, as is usual. Note that for Clinical Advanced Standing candidates, each of the clinical qualifying exams is graded on a final Pass/Fail basis only and there is no opportunity to rewrite any part of either exam. If the status of Clinical Advanced Standing is not achieved, the accepted applicant may still enter the Program as a regular degree candidate. Clinical Advanced Standing students must meet all Program requirements, except that they only complete one year of clinical internship with the standard three days a week of seeing clients and two hours a week of clinical supervision. This one-year internship conforms to the 2nd year clinical internship, except that clinical advanced standing students take the internship during their first year in the Program. These students are required to meet the performance standards and to complete the practicum assignments for the 2nd year rather than the 1st year clinical internship.

# 2001 Doctoral Program: Clinical Qualifying Exams

The policies found in section 2001 are specific to the doctoral program and do not apply to master's students.

## 2001.1 Overview

Scheduled at the end of the 1st year (except in the case of Clinical Advanced Standing), a written clinical exam is given to assess the student's mastery of 1st year learning objectives and readiness for advanced clinical learning. Exam requirements are conveyed to students by their Practicum Faculty Advisers (PFA's). The oral clinical exam is offered at the end of the 1st year of internship. Both exams are components of the final grade for the 1st year internship.

The Written and Oral clinical exams are graded separately with a final grade of Pass (P) or Fail (F). A student receiving a grade of F in either or both exams would not be permitted to continue on to further academic coursework, and would be dismissed from the Program.

A student whose exam is at the threshold between Pass and Fail would be given one opportunity to re-write the part(s) of the exam(s) found to be unsatisfactory. The re-write is evaluated by the student's Practicum Faculty Adviser and the Director of Practicum Learning, and must be completed and successfully passed before the student would be permitted to continue on to further coursework or clinical internship. The transcript grade for the clinical internship would be I (Incomplete) until the completion and grading of the re-take or re-write of the exam/s.

A grade of PASS on the exam(s) would be required to proceed with further academic coursework.

## 2001.2 Written Clinical Exam: Procedures & Criteria

The Written Exam consists of a published article and a set of questions related to the article that centers the clinical learning objectives of the 1st year. The exam is taken in early April of the 1st year of the student's clinical internship. Students are given 4 hours to complete the exam..

On the day before the exam the article will be emailed to the student. The next day the exam questions are emailed to the student. The test is completed using the honor system; students are required to exercise academic honesty, without supervision or surveillance, and students are expected to adhere to professional ethics. No books, notes or online material are allowed

to be used during the exam. Students will compose their answers on a computer in a Word document. At the end of 4 hours, they will email their exam paper as a Word attachment back to the Administrative and Systems Manager, Ph.D. Program ([sswphd@smith.edu](mailto:sswphd@smith.edu)). The exam is read by the student's PFA and the Director of Practicum Learning, and is evaluated based on the following criteria:

- Read a published article that combines clinical psychodynamic theory and practice.
- Explain the phenomena described in the article from an alternative theoretical position drawn from the four psychologies. Based on evidence in the article, compare and contrast both theoretical positions, discussing the gains and losses inherent in each.
- Examine the practice interventions in light of the theory the author uses. Be able to think critically about how a different theory might lead to a different intervention.
- Critique the theoretical position taken in the article in terms of its social and historical contexts.
- Demonstrate Ph.D. level writing within the constraints of a timed examination.

### **2001.3 Oral Clinical Exam: Procedures & Criteria**

This exam, based on the student's case study, consists of a face-to-face discussion between the student and a committee made up of three members of the School's Ph.D. Program faculty and associates. The Program Clinical Director serves as the ex officio member of every exam committee.

The exam takes place via video-conferencing in late April of the 1st year internship. It lasts approximately 2 hours. The oral exam is evaluated on the following criteria:

- Present a coherent biopsychosocial-spiritual assessment using those psychodynamic, developmental and social theories that best serve the client, with particular attention given to relevant issues of diversity.
- Articulate a treatment plan with specific goals and interventions, in both Agency-based and theoretical languages, demonstrating how they serve the client.
- Select one theory drawn from the four psychologies, apply it to the case, and based on the assessment, defend the rationale for the theoretical position in the treatment of the client.
- Compare and contrast the chosen theory with another theory drawn from the four psychologies, noting the gains and losses obtained with each theoretical perspective.
- Address goals in terms of the assessment formulation and as demonstrated by evidence in the process recordings.
- Evaluate progress in treatment based on a review of treatment goals in relation to client outcome.
- Demonstrate understanding of the working alliance, transference, resistance, and countertransference in the therapeutic relationship.
- Entertain an alternate point of view and discuss it in a clear and coherent manner.

- Address any ethical dilemmas raised by the case.

# 2002 Doctoral Program: Research Internship

The policies found in section 2002 are specific to the doctoral program and do not apply to master's students.

## 2002.1 Educational Objectives

- Provide students with hands-on experience in research prior to the dissertation;
- Expose students to multiple parts or phases of the research process to help them gain an understanding of how the method of inquiry is related to the overarching research questions(s);
- Advance students' capacity to describe and analyze conceptual and methodological issues in their research, and to anticipate the vicissitudes that can arise in the conduct of research in the field.

Development of these skills is seen as helping to prepare students for the dissertation research they will undertake, usually after they have completed the 3rd academic summer (Session V). Accordingly, the research internship requirement should be completed before the 3rd summer begins.

## 2002.2 Options for the Research Internship

In general, the more varied the activities the student participates in, the better, though these activities will have to be within the limits of what is possible both for the student and the host project or faculty mentor. All internship proposals must be reviewed and granted approval by the Ph.D. Program's Director. Three options are available for fulfilling the research internship requirement.

**Option A:** Students may identify and affiliate with ongoing funded research projects relevant to social work that are situated in their geographic areas. A student must negotiate with the project's principal investigator to obtain the equivalent of a half-day per week of work on the project for the 32-weeks of winter session (128 hours). Students' involvement in research projects may not be limited to one role, task, or activity (i.e., coding only, or interviewing only), and as much as possible, should allow students to become acquainted with both the substance and the processes of the research.

**Option B:** Members of the resident faculty or adjunct faculty teaching in the Ph.D. Program may offer the opportunity to one or more selected Ph.D. students to participate in a specific piece of faculty-directed research. The time demand on students shall be the equivalent of a half-day per week of work on the project for the 32-weeks of winter session (128 hours). Students' involvement in research projects may not be limited to one role, task, or activity (i.e., coding

only, or interviewing only), and as much as possible, should allow students to become acquainted with both the substance and the processes of the research.

**Option C:** Any student or group of students may propose a student-generated project provided that the student(s) is able to recruit a qualified faculty member to supervise the project. The time demand on each student shall be the equivalent of a half-day per week of work on the project for the 32-weeks of winter session (128 hours). It is important to recognize that student-generated projects often require more than a half-day per week involvement (128 hours) as the student is responsible for all aspects of the research project. The Director of the Ph.D. Program should be consulted before pursuing such a proposal.

For all options, responsibility rests with the student to identify, negotiate, and complete the research internship according to the procedure described here.

## **2002.3 Research Internship Proposal**

A written proposal (up to 500 words) is submitted before term 2 of the second summer begins (July 1 of second summer), describing the following content:

- Name of Student and Research Supervisor
- The nature of the project
- The period of the student's affiliation with the project
- The learning goals for the internship experience
- The specific variety of activities in which the student will be involved
- The option selected for the research internship, and the name and credentials of the person who will serve as the student's mentor during the internship (If external to Smith SSW, this person's CV should be attached to the proposal.)

The proposal is submitted to the Administrative and Systems Manager, Ph.D. Program and is reviewed by the Ph.D. Program Director. If the Director approves the proposal, this is conveyed to the student in writing. The Research Internship must then be completed as described.

## **2002.4 Research Internship Report**

At the completion of the Research Internship, the student must submit a written summary (up to 1250 words), describing what actually transpired during the internship and reflecting on what was learned and what learning remains to be done within the specific research internship experience. If there were any changes in the nature of the internship from the proposal, a clear description and reasoning for the changes need to be included.

This final report is to be sent to the Administrative and Systems Manager, Ph.D. Program ([sswphd@smith.edu](mailto:sswphd@smith.edu)) with a copy to the Director of the Ph.D. Program.

The director will provide a letter to the student approving the completion of the Research Internship or requesting additional details for the report.

### **A Suggested Outline for Research Internship Report**

- Name of student and name of research supervisor
- Date of completion of Research Internship Report
- The title (or description) of the project, location of the project, and name of the supervisor
- The nature of the project
- The period of the student's affiliation with the project and number of total hours dedicated to the internship
- The learning goals for the internship experience and discussion of how each goal was met.
- The specific variety of activities in which the student was involved. Discussion of activities that were anticipated but not undertaken as well as additional activities that were undertaken should be included.
- Overall statement of the results of the research project (or results up to the point the student completed the internship).

## **2002.5 Faculty Support for the Research Internship**

Responsibility for helping students plan for the Research Internship is a shared responsibility. Primary responsibility for guiding students in planning for the Research Internship rests with the Research Supervisor. Research Internship proposals and final reports are submitted to the Administrative and Systems Manager, Ph.D. Program when complete. Overall administration of the Research Internship, approval for the Research Internship proposal, and grading of the final Research Internship report is the responsibility of the Director of the Ph.D. Program.

## **2002.6 Guidelines for Authorship, Ownership, & Acknowledgment**

In negotiating the Research Internship, students may wish to discuss possible co-authorship within a research team. To help students understand how multiple authorship is negotiated and how it is related to the kinds of work undertaken, the School offers guidelines for collaborative student/faculty undertakings. (See [Appendix B](#))

# 2003 Doctoral Program: Comprehensive Examination

The policies found in section 2003 are specific to the doctoral program and do not apply to master's students.

## 2003.1 Overview

The purpose of the Comprehensive Exam is to assess the student's ability to apply, in an integrative fashion, knowledge from the curriculum (e.g. clinical theory, practice, policy, research or practicum learning) to an issue of significance to clinical social work (theory, practice, policy, research or practicum learning). The issue selected is optimally, but not necessarily, one that will have a direct connection to the student's dissertation. The Comprehensive Exam is a first authored publication-quality manuscript based on new work submitted for peer review. No previously published or presented work may be used for the Comprehensive Exam. Acceptable types of Comprehensive Exams include but not limited to:

- Conceptual article that draws from existing research and theoretical literature to advance understanding of issues related to clinical social work. A conceptual paper typically integrates two theoretical lenses to deepen understanding of a clinically relevant concept as well as include a case illustration.
- Research report of qualitative, quantitative, or mixed methods findings that are preliminary and advance knowledge in clinical social work.
- Review article that summarizes previously published research. Such articles support conclusions of potential theoretical, clinical, or practical importance to clinical social work.

## 2003.2 Educational Objectives

- Engage and take a leadership role in scholarship advancing the knowledge relevant to clinical social work
- Work closely with a Research Supervisor in developing a research idea that results in peer reviewed publication
- Discover and gain experience in the process to publish a first- authored, peer-reviewed publication

## 2003.3 Mentoring for the Comprehensive Exam

Advising for the preparation of the Comprehensive Exam manuscript will be led by the student's Research Supervisor (RS) assigned by the Program Director in consultation with the student, during the second summer of classes.

Research Supervisor, who is usually a member of the School's resident faculty or long term adjunct faculty, will:

1. assist the student in developing a research internship plan;
2. assist the student in identifying and refining a preliminary area of study and preliminary plan for the Comprehensive Exam; and
3. oversee completion of the Comprehensive Exam manuscript.

During the Research Internship the RS will meet regularly with the student (weekly or bi-weekly). Monitoring of progress toward completion of the Comprehensive Exam is part of the RS's role. Overall administration of the Comprehensive Exam and approval and grading of the final Comprehensive Exam manuscript is the responsibility of the Ph.D. Program Director.

Students will participate in a course during the second summer that is designed to support their work on the Comprehensive Exam. Additionally, second year students are required to participate in a Comprehensive Exam Seminar during their second year designed to support students' completion of the exam. The small group seminar meets online 6 times a year. Post-Resident students are also encouraged to participate in the Comprehensive Exam Seminar.

## **2003.4 Comprehensive Exam Process**

Each student will work with a Research Supervisor in the development of the Comprehensive Exam. Students are expected to meet regularly with their Research Supervisor (weekly or every other week) as they advance in the development of the paper. Typical steps in developing a Comprehensive Exam include:

- Identify and articulate a topic of relevance and importance to clinical social work knowledge and practice
- Conduct a formal review and critique of both the theoretical and empirical literature pertaining to the topic of study
- Plan and report a conceptual framework orienting the proposed study
- Identify and critique the limitations of the relevant literature and articulate the research implications inherent in the literature
- Complete a clearly written and well-organized manuscript ready for publication conforming to the standard publication expectations of the target journal.

The final version of the comprehensive exam should follow submission instructions of the targeted journal and will typically include:

- Clearly identified research question or topic in the Title
- An abstract of 200 words or fewer, clearly stating the core thesis or argument of the manuscript, and 3-5 keywords
- A conceptual framework for the study. A conceptual framework provides one or more lenses through which the research problem is viewed. The lens can be one or more psychological such as psychodynamic theories (e.g., Winnicott, Kohut, Intersubjectivity) or sociological theories such as Neoliberalism or Intersectionality that explain certain phenomena in considerable detail; it can be research perspectives such as those of social psychologists or cognitive scientists; and it can be constructs used to conceptualize the phenomenon of interest (such as social isolation). Note how this conceptual framework will add to existing knowledge
- Review of the relevant theoretical and recent empirical literature pertinent to the topic
- Identification of the limitations of prior theoretical and empirical literature
- Articulations of the relevance and importance of the study to clinical social work
- Description of methodology, including the data sources employed (case materials, qualitative and/or quantitative data) and measure utilized if relevant
- Description of analysis and findings
- Discussion that integrates new data or findings with prior literature and/or empirical findings and addresses implications for clinical social work practice research, and/or policy
- A complete reference list. A minimum of twenty citations should be included. Use APA 7 citation and language format (or citation required by target journal), using inclusive language that is non-stigmatizing
- Complete a well organized and clearly written manuscript that should typically be 20 double-spaced pages in length, excluding abstract, figures/tables and references (length may differ based on the requirement of the student's selected target journal)

It is expected that students will work on the Comprehensive Exam during their research internship and complete the Comprehensive Exam by the end of December following their third summer.

Manuscript due date for independent review: December 31 following the third summer.

## **2003.5 Evaluation of the Comprehensive Exam**

When the student has completed the Comprehensive Exam paper and the Research Supervisor approves of its completion, the student will then submit the final, revised manuscript to the Administrative and Systems Manager, Ph.D. Program ([sswphd@smith.edu](mailto:sswphd@smith.edu)) for an independent peer review process by a faculty member, other than the Research Supervisor. Evaluation of the Comprehensive Exam by an independent reviewer is the responsibility of the SSW faculty and will be completed within 4 weeks from the time of submission. Review time during summer months may be longer.

The independent reviewer will read a student's Comprehensive Exam and evaluate the manuscript with the purpose of strengthening the manuscript for its submission to a journal. The evaluation will be structured and based on a rubric that assesses each part of the manuscript (e.g., abstract, introduction and literature review, methodology and analysis, findings and/or discussion, values and ethics, and format). The following criteria are considered when evaluating the Exam:

- Abstract
- Clarity, timeliness and importance of the study question or topic to clinical social work
- Quality of the review of prior theoretical and empirical literature, including explicit attention to recent highly regarded publications in this area of study
- Clarity and appropriateness of the conceptual framework of the study
- Appropriateness and quality of data sources employed
- Quality of data analysis employed
- Coherence and quality of the discussion of the study
- Clear statement of implications for clinical practice, policy and research
- Quality of recommendations offered and their clear linkage to study data or findings
- Overall organization and coherence of the manuscript including clarity of writing
- Consistency with social work values and ethics
- Reflects on objective outlook on the topic. If the author has taken a position, is that subjective stance plainly acknowledged?
- Is IRB approval indicated – if applicable?
- Spelling, grammar, etc.
- Fit of manuscript to APA formatting conventions (or the conventions of the target journal, if other than APA).

The Comprehensive Exam paper is graded on a Pass, Marginal Pass, or Fail basis.

- If a student receives a Pass, the independent reviewer may still provide recommendations to strengthen the manuscript. The student can decide which changes to integrate before submitting the paper for publication. Once the paper is submitted, the Research Supervisor's role is completed.
- If a student receives a "Marginal Pass", the student is required to make changes which the Research Supervisor oversees (clarifying reviewer comments, reading revisions based on written feedback, etc.); the Research Supervisor will decide when the paper is ready for submission to a journal.
- If a student receives a "Fail", the student is required to make changes which the Research Supervisor oversees (clarifying reviewer comments, reading revisions based on written feedback, etc.) The revised paper will be sent out for a new independent review by another faculty member. The Comprehensive Exam manuscript may be submitted for independent evaluation twice. If a failing grade is assigned to the paper upon the second submission, the student will be dismissed from the program.

Finally, to receive a passing grade and transcript credit for this requirement, each student must document proof of submission of the Comprehensive Exam manuscript to the peer reviewed journal of their choosing after it has been approved for publication by the Research Supervisor. This may take the form of a return receipt for post or an email message from the journal documenting receipt of the manuscript. The name and contact information for the target journal must be included along with a receipt date. These materials are to be submitted to the Administrative and Systems Manager, Ph.D. Program ([sswphd@smith.edu](mailto:sswphd@smith.edu)). Final approval of the Comprehensive Exam manuscript is the responsibility of the Ph.D. Program Director.

# 2004 Doctoral Program: Dissertation

The policies found in section 2004 are specific to the doctoral program and do not apply to master's students.

## 2004.1 Overview

An independent research or scholarly project relevant to clinical social work is required of all Ph.D. students. Through completion of this project, students demonstrate their capacity to contribute to the development and dissemination of knowledge for the profession. Completion of the dissertation is the academic project that marks the transition from student to scholar.

## 2004.2 Standards for the Dissertation Project

The dissertation project is expected to be a defensible, original inquiry into an issue of potential professional relevance. It should represent a well-grounded attempt to illuminate a matter of relevance. (Quality standards for evaluating the dissertation may be found on Moodle Helpful Resources for Ph.D. Students)

- Students are expected to demonstrate mastery of relevant prior work that has bearing on the substantive issue, an informed selection of relevant study methodology and a strategy for inquiry, the conduct of the study as outlined in the proposal, and a grasp of the results of this inquiry and their connection to prior knowledge. Normally, experience in the conduct of research clarifies the aptness of certain choices and the pitfalls of other choices. It is expected that students develop a balanced perspective on their project and succeed in making the results of it clearly and conveniently available to an interested audience.
- Responsibility for the initiation, design, conduct, and defense of the dissertation project rests with students. The School undertakes to assist students in meeting these responsibilities through provisions intended to enhance the productive use of students' time and to support their learning and achievement. In addition to maintaining continuity in advising, we attempt to provide students with ready access to advisory and committee assistance and with expeditious review of written material. Through these means, the Program attempts to assist students in timely completion of dissertation work. While students are expected to take advantage of opportunities available in the Program for pursuit of their dissertations, the success of the enterprise is viewed in terms of active, ongoing learning achievements and the ultimate completion of a defensible inquiry, rather than in terms of a time interval.
- The time limit on dissertation work is five years from completion of Session V. This limit is meant to aid the timely completion of the project, not to undermine the educational function of the dissertation project or compromise the project's integrity. Specific

information about time limits may be found in the section (following) on Extensions for Dissertation Work.

## **2004.3 Guidelines for Authorship, Ownership, & Acknowledgment**

The School offers guidelines for collaborative student/faculty undertakings. (see [Appendix B](#))

## **2004.4 Supports for the Dissertation Project**

The Ph.D. Program supports students' development and completion of the dissertation project in several ways.

- The first is through the series of required research courses that provide the foundation of knowledge needed both to assess the prior work of others and to develop work of one's own. In particular, a dissertation design seminar is offered in the third summer. (In those instances where a student is well along in the preparation of a proposal by the second summer, the dissertation design seminar may be taken then, with permission from the director.)
- Secondly, a Research Supervisor (RS) is assigned to each student.
- Finally, a dissertation committee is appointed for each student to assist in the development of a dissertation proposal and in completion of the dissertation.

### **1. The Research Supervisor (RS)**

The role of the RS is covered more fully in this Handbook in the section on the Comprehensive Exam. Briefly, one role of the RS is to assist the student in identifying and refining a preliminary area of study and preliminary plan for the dissertation.

### **2. Post-Residency Dissertation Advisement**

Post-residency students are encouraged to keep in touch with the RS through phone calls, written communications, and in-person visits so as to advance toward completing their dissertation. The School cannot support travel by RS to visit with students. However, contact is encouraged, as needed, between students and faculty members who are visiting in the student's geographic area.

### **3. The Dissertation Committee**

- The dissertation committee will consist of three people: a chair and two members. It is required that each person on the committee bring expertise in some significant aspect of the proposed work. At least one member of the committee must have methodological expertise in either qualitative or quantitative research. In very rare circumstances, a student

may request a fourth member to be appointed to the committee. This appointment is at the discretion of the Director of the PhD Program and the potential member's contributions will be based on their having significant expertise in content areas separate and distinct from those of other committee members. The fourth member, if approved, does not need to hold a PhD, pending the Director's approval and under the conditions that 1) the person has significant expertise in clinical or content areas directly related to the student's topic, and 2) the person has demonstrated significant scholarly contributions to the field. The contributions will be evaluated by the Director in accordance with a submitted CV.

- The dissertation chair must have an earned Ph.D. and is, ideally, a member of the School's resident faculty. Appropriately qualified members of Smith adjunct faculty (those who have taught at Smith for more than three years or worked in multiple roles at the School, i.e., Adjunct Instructors, Practicum Faculty Advisers, or Research Supervisors) may be considered equivalent to resident faculty when resident faculty are unavailable.
- Committee members must hold a doctorate, and at least one member of the committee must hold an M.S.W. or higher in Social Work.
- One member of the committee must be a person not otherwise serving in a faculty role at Smith. If the chair is not a member of the School's resident faculty, then both committee members must be a Smith related qualified adjunct faculty. Occasional exceptions to this policy can be made by petition to the director.
- Dissertation chairs not on the School's resident faculty are paid a small honorarium by the School. The School also pays a nominal honorarium to outside committee members when they have read the dissertation proposal and the dissertation report.
- Students are responsible for identifying and recruiting the chair and the members of their dissertation committee. Because the chair usually functions as the principal adviser for the work, it is generally prudent to recruit the chair first, and then to consult with her/him about possible committee members. The student's Research Supervisor (RS) may or may not be the logical person to serve as dissertation chair, depending on the goodness of fit between the dissertation content area and the RS's areas of interest and expertise. The RS and the program director are both available to consult with students about the composition of their dissertation committees.
- Request for approval of the dissertation committee must be made by the student in writing. This request must be sent to the Administrative and Systems Manager, PhD Program prior to finalization and defense of the dissertation proposal. Outside committee chairs or committee members are asked to furnish a curriculum vita prior to appointment. As a matter of

policy, the program's director serves as ex-officio member of the dissertation committee. Only after approval of the comprehensive examination may students make their request for approval of the dissertation committee. Typically, the research internship is completed before the start of dissertation work.

- The chair of the dissertation committee oversees the dissertation proposal and dissertation process. Students should consult with the chair about all aspects of the dissertation process, beginning with the formulation of a researchable question, the development of a research methodology, data collection, data analysis, and writing the dissertation. Typically, the chair coordinates and discusses with other committee members (during, and in some cases, prior to the scheduled defense) the student's completed work.
- A cover sheet recording the composition and approval of the dissertation chair and all committee members, including the program director, must be attached to, and submitted to the School with each completed dissertation proposal and dissertation report. A model for the cover sheet may be found on the Moodle Helpful Resources for Ph.D. Students page or requested from the Administrative and Systems Manager, PhD Program.

#### **4. Working with the Chair and the Committee**

Chairs may work differently. In preparation for a proposal review, some Chairs may wish to involve all committee members; others may prefer to work principally with the student, bringing members into the process when the proposal is nearly ready for review. Issues of working style are part of what students should consider when selecting a chair.

The ways students and chairs work together will vary. Student and chair should develop a working relationship that accommodates the needs of both. Establishing a reasonable working relationship may begin with clarification with the chair and committee members about how you should work with each other. Students might ask questions regarding:

- How frequently there should be contact between the chair and the student;
- Whether the chair prefers to review whole drafts of chapters, relatively polished drafts, or smaller chunks of less well-formed writing;
- What might be a reasonable time frame within which the student could expect to receive comments from the chair;
- What kind of feedback the student would find most helpful at different stages of the writing process;
- How the chair would prefer to work with committee members

Keep your chair informed about your progress. Chairs can be most helpful if they know what you are working on, what problems you are experiencing, and the progress you have made. Some students see their dissertation committees for the proposal hearing and then never see them again until the final dissertation defense. Other students prefer more frequent contact. It may be appropriate to request a consultation with the full dissertation committee when the student is floundering. Committee members might offer very helpful suggestions for overcoming some of the obstacles in completing a dissertation.

## **2004.5 Proposal Hearing & Dissertation Defense**

The School uses Zoom for dissertation proposal hearings and dissertation defenses. The purpose of the proposal hearing is to permit direct interaction between students and committee members as they discuss the strengths and weaknesses of the work. The dissertation defense also centers on critical appraisal of the work, as well as offering an opportunity for students to describe and explain their work to an audience of interested and knowledgeable professionals.

Dissertation proposal hearings and Dissertation defenses are scheduled to meet the availability of the committee and the student. Family and Friends may be invited to view the dissertation presentation but are not allowed during the committee's discussions.

### **1. Scheduling the Proposal Hearing or Dissertation Defense**

The student, with consultation and assistance from the dissertation chair, has the responsibility for scheduling the proposal hearing or dissertation defense with the Administrative and Systems Manager, PhD Program. These take about 2 hours. Once the student has determined a date and time convenient to all committee members, the student must contact the PhD program's administrative and systems manager who will arrange the Zoom meeting and send all pertinent information to the committee and student.

Meetings may be scheduled any date or time with the exception of School holidays and Winter break, when the College is closed.

Prior to the scheduled proposal hearing or dissertation defense, the student has the responsibility of providing copies of the work to all members of the committee and to the Administrative and Systems Manager, PhD Program. The manuscript must include the unsigned cover sheet. Model cover sheets for the dissertation proposal and the dissertation may be found on the Moodle Helpful Resources for Ph.D. Students page.

### **2. Procedure of the Proposal Hearing or Dissertation Defense**

Both meetings begin with the dissertation Chair creating a breakout room for the initial committee's consultation of issues they wish to discuss and questions they want to ask the student. The student is then invited into the room and begins by offering an

overview of the work. Committee members then ask their questions of the student. Overall, the presentation and discussion take about an hour. At its conclusion, the chair will create a breakout room allowing committee members to again consult with each other. Finally, the student is invited back into the room to hear the committee's comments and its decision as to whether the work is to be accepted as written.

**3. Signing Off on the Proposal or the Dissertation**

The committee's decision of "Accepted without revisions; Minor revisions required; Revision and review required; or Rejected" will be forwarded by the chair to the Administrative and Systems Manager, PhD Program who will record the decision on the cover sheet of the dissertation proposal or dissertation along with the date of the meeting. The Administrative and Systems Manager will then email the cover sheet to each of the committee members for their signatures.

**4. Follow-up to the Dissertation Defense or the Proposal Hearing**

Should the committee require any revisions of the work, the Committee Chair should send a letter/email to the student outlining the required revisions. A copy of this letter/email may also be emailed to the Program's Administrative and Systems Manager. These revisions should be accomplished by the student, in consultation with the chair, in the manner and within the time frame set by the committee. Once the required revisions have been completed, the dissertation chair is responsible for notifying the program administrative and systems manager that all revisions have been completed and approved by the Chair and also provide the date revisions are complete. The student is responsible for emailing the finalized copy of the revised dissertation or dissertation proposal to the Administrative and Systems Manager, PhD Program, who will add the signed cover sheet to the document. The student should retain a copy of the signed cover sheet for his/her own records.

If the committee accepts the document with extensive revisions requiring another full committee review and rejects the work for a second time, the student will be automatically dismissed from the Program.

## **2004.6 Developing the Dissertation Proposal**

The development of a dissertation proposal or prospectus offers Ph.D. students an opportunity to pursue a special professional interest in depth and to acquire the skills necessary for undertaking independent scholarship or research. Research and scholarly activities that contribute to an evolving body of verified, synthesized, and communicable knowledge vary greatly in method. The School's general objective for the proposal allows wide scope for both area and style of study. Choice of method will depend, in part, on the state of knowledge in the subject area selected. Topic is limited only to those with demonstrable relevance to clinical social work. Method and its suitability to the topic is determined by the dissertation committee.

## 1. Selecting a Subject

It is suggested that you select a subject you believe to be important and about which you would like to know more. Bear in mind that every study effort is selective and that no study effort is definitive. Consequently, in developing the focus of your effort, you should be prepared to narrow the scope of your study area so that you can formulate a specific problem for investigation that can contribute to knowledge that is useful for practice. The narrowing of a study effort may occur through deliberate selection on the part of the student based on interest or hunch about what is more important or valuable about the subject. Of course, narrowing a research effort can be most coherently attained by making use of what is already known about the area. The knowledge about any study area you are likely to find helpful will probably include the following:

- **Clinical and Theoretical Literature.** Reports of practice or theoretical papers in which some attempt is made to abstract concepts about practice problems may be useful.
- **Research Studies.** It is difficult to find a subject in relation to which some prior study has not been attempted. The most closely related studies should be used.
- **Clinical Experience.** It is possible to collect the experience of skilled practitioners who are in a position to have thoughts about a study area. Do not exclude your own experience as a resource in the process of isolating significant focal points within an area.

## 2. Refining the Study Issue

The kinds of questions to bear in mind include the following. About what points is there general agreement and where do differences lie in the literature and/or experience? What aspects of a problem are not adequately explained by the literature or experience-based observations? Are there any clues about possible explanation of processes that lie in the fringe areas of knowledge?

After locating a productive and specific professional issue or question, plan to re-examine sources of insight into this topic. That is, plan to review the clinical and research literature as well as clinical experience from the standpoint of the tentative explanations that are suggested from this material. It would be usual to complete more focused reading and review of experience after a highly specific issue is located than would be possible prior to that time. During this review, attention should be given to the evidence consistent or inconsistent with specific explanations or hypotheses.

You may be able to assemble and weigh the evidence in relation to a single hypothesis, or you may instead identify the tenability of a series of alternate explanations for a clinical event, question, or issue.

Once having formulated the specific study issue you intend to address, you will want to consider the most feasible method for carrying out the proposed study - the design strategy. Thus, you will have to consider the type of research that you propose for the

study and the procedures you propose to use in sample selection, data collection, the measurement of the major variables, and the data analysis.

### 3. **Planning the Proposal Document**

A proposal is a working document intended to help in the process of developing productive research. The proposal provides an intellectual and methodological roadmap for the proposed study. Only by attempting to orchestrate an inviting study issue, an accessible study opportunity, and effective study means, can the promise of a plan be appraised. And only by attempting to synthesize the components of a total plan can one foresee its problems. Thus, in order to progress toward the goal of an effective project, the proposal is expected to serve as a stimulus for consideration of the choices it expresses and their alternatives. In planning and conducting further development work, in weighing elaborations or revisions to the proposal, the student has an opportunity to exercise substantial initiative. The following outline identifies matters that normally require some treatment in a proposal. It is not necessarily expected that all be developed in comparable detail. Indeed, brevity consonant with clarity should be sought. If you would like consultation of a faculty member or others in advancing your planning effort, the proposal should provide the basis for an informed review of your thinking.

- **Statement of the Study Issue.** The statement of the study issue is the most important component of a study. It tells the reader:
  1. the issue, problem or concern the study addresses,
  2. why it is important,
  3. how the study will answer some part of the problem, issue, or concern, and
  4. briefly describes the evidence from the literature of practical experience that justifies the study issue.

State the central focus of the study in as few words as possible (in 250 words or less). It is best to capture the study issue in a single sentence. Then clarify and elaborate so that a reader can grasp the subject of the proposed inquiry.

- **Rationale.** The rationale is an articulation of the reasons why the proposed study should be conducted. It places your research in a context that clarifies why it should be done (e.g., its importance or urgency). Provide some information about the current conditions or positive consequences of the proposed research by explaining the contribution this research will make to general knowledge or the need for your research data to further work in this area, etc.
- **Specific Aims.** In one to two pages, state one or two clearly focused aims. The aims should be specific, measurable and time-phased objectives. Indicate how these aims relate to the research plan (e.g., the aim of the study is to describe; to compare; to explore; to predict, to develop or to conceptualize theory, etc.).
- **Prior Relevant Work.** All good research and scholarship start with a thorough examination of the literature. Attention should be directed to both theoretical

material related to the topic and to prior investigations bearing on it. Rather than simply cataloging the work of others, present your analysis of it. Make clear its scope and limitations for illuminating the issue of concern.

- **Method.** This section should include a description of the general plan and design of the study, and the basis for its choice. Projects with substantial empirical emphasis should identify the data source, sampling techniques, and size of the sample envisioned, the method and procedures by which the student expects to secure the data, and the procedures to be followed in analyzing the data. Ethical issues and the measures employed to address them must be addressed. For projects not emphasizing the collection of original data, an outline of the proposed course of work should be offered. Be as clear and as explicit as possible in describing the methods to be used.
- **Feasibility.** It is important to determine whether the resources needed for the pursuit of a project exist and are accessible. An efficient way to investigate the feasibility of the plan is to try it out. Experience in attempting to implement a plan often serves quickly to identify the unanticipated problems; part of design work is charting a course around such obstacles.
- It may not be possible at this stage to clarify every part of the plan in full. However, it is useful to attempt to specify as far as possible the plan in its entirety so as to identify the aspects that need further work. For the aspects of the plan that cannot be specified, the statement of design should indicate the procedure by which clarity about these matters can be achieved.

#### 4. **Preparing the Proposal Document**

Students are expected to follow the instructions available on the Moodle Helpful Resources for Ph.D. Students page, describing "Preparing the Dissertation Manuscript." to have proper scholarly citations for their dissertation proposal literature review in accordance with the instructions contained in the Publication Manual of the American Psychological Association (7th edition., 2019). Refer also to the dissertation proposal samples on Moodle.

## 2004.7 Human Subjects Review

All dissertation projects must be reviewed for conformance with current ethical standards in the conduct of research. The Institutional Review Board (IRB) process generally takes place after the dissertation proposal has been approved but must occur before any sample members are contacted or any data are collected. If the sample is to be independently recruited, the student must secure review and approval of the research proposal through Smith College's federally constituted Institutional Review Board (IRB). If the study sample is to be drawn from an agency or other institution, the student has the responsibility of securing review and approval first from the study site and then from the College's IRB. Please contact Sherry Wingfield, Program Coordinator of the Smith College IRB at (413) 585-3562 or [irb@smith.edu](mailto:irb@smith.edu) to indicate your plans to prepare an IRB application and receive updated information on the application process.

The purpose of the institutional review (Human Subjects Review) is to weigh potential risks to participants in relation to potential benefits that may be gained from the research. Data collection procedures should be designed to reduce risks to participants, and consent issues should be handled so as to ensure that participants are free from coercion and informed when they are first approached about the nature of their participation and about the risks and benefits of participation. Confidentiality is usually a major issue to be addressed in reducing risks. The Dissertation Committee Chair can assist in the IRB process and may be required to document his or her supervision of the project in some settings.

The procedures described in the IRB application, once approved, cannot be altered significantly without re-review. Once a project is approved, you, as the researcher, have entered into a contract with the reviewing institution to conduct the research in the manner described, and all terms of the contract, including details of the storage of data and feedback to participants, must be fully honored. Requirements and procedures for obtaining approval on research using human subjects may be found on the [Smith College Institutional Review Board website](#).

This information is also available on the Moodle Post-Residency and Dissertation Resources page.

## **2004.8 The Dissertation Manuscript**

Normally dissertation manuscripts consist of five basic chapters that include an introduction, literature review, methods, findings, and discussion chapter. Complete guidelines for the dissertation manuscript are found online on Moodle Helpful Resources for Ph.D. Students page. In general, the Publication Manual of the American Psychological Association (7th Edition., 2019) is the reference to be used on matters of form and style for the dissertation proposal and dissertation manuscript. As the APA Manual indicates, however, certain adaptations to its standards are desirable when preparing a dissertation manuscript. This is because the dissertation is a final copy. Unlike a manuscript that is being prepared for publication in a journal or book, the dissertation manuscript will be published as is. The guidelines provided on the Moodle Helpful Resources for Ph.D. Students page give the standards for preparing Ph.D. dissertations at Smith, identifying how they are consistent with, and differ from, APA article format.

## **2004.9 Dissertation Deadlines**

The School has established a time limit on dissertation work of 5 years following completion of the final academic session (Session V). To be eligible for award of the Ph.D. degree at the School's August commencement, students must successfully defend their dissertations no later than May 31. Approved final manuscripts must be submitted no later than June 30. If the committee requires revisions to the dissertation, these must be completed in time for the manuscript to be sent to the School by the June 30 deadline. Students unable to meet these

deadlines may elect to receive their degree in the mid-year graduation. To be eligible, students must defend their dissertations no later than November 1, with approved final manuscripts sent to the School no later than December 5.

1. Extensions for Dissertation Work

Ph.D. candidates in good standing with the School who have not completed their dissertation within 5 years following completion of Session V may petition the School for an extension. A written request for extension is to be addressed to the program director. The request should detail any extenuating circumstances and, most importantly, should outline the progress that has been achieved toward completion of the dissertation. Normally, it is evidence of progress in the work that is deemed most important in determining whether or not an extension should be granted.

Extensions are granted for only one year at a time, and must be received at the School by April 29. Students who have not submitted their extension request by that date will be withdrawn from the Program.

A total of no more than 3 extensions may be granted. If the dissertation has not been completed by that time, action will be taken to withdraw the student from the Program.

2. Billing during the Post-Residency Period

Refer to the Financial Matters section of this Handbook ([section 800](#))

1. Fees & Expenses ([800.3](#))
2. Post-Residency Enrollment Fees ([800.4](#))
3. Waiver of Post-Residency Enrollment Fees during Leave of Absence ([800.4.1](#))

## **2004.10 Graduation Requirements**

Once a dissertation has been approved by a student's Dissertation Committee, the student has completed their SSW student requirements for a doctorate. The Board of Trustees of the College will vote on doctoral candidates twice per year (June and January); once that vote is approved, students will receive their diploma and can use the term "doctorate" in professional activities.

Students may participate in all graduation activities, including the walk across the stage, after the dissertation is fully approved, including revisions advised at the dissertation defense. If the dissertation is nearly complete, students may participate in graduate ceremonies except for the actual graduation and walk across the stage.

# 2005 Doctoral Program: Policy and Oversight Committee

The policies found in section 2005 are specific to the doctoral program and do not apply to master's students.

## 2005.1 Membership

The Dean and program director appoint the members of the Ph.D. Program Policy and Oversight Committee for either a 1 or 2-year term that may run consecutively. The faculty appointments will ensure representation of a balance of both clinical and research foci.

The membership consists of:

- 2 resident faculty teaching/advising in the Ph.D. program
- The program director
- The Associate Dean of Academic Affairs
- The Clinical Coordinator, PhD. Program
- 2 current students in the Ph.D. Program, non-voting
- Administrative and Systems Manager, Ph.D. program, non-voting
- Dean, ex officio

In cases of a tie vote, the Dean will cast the tie-breaking vote.

It is expected that the Ph.D. Program Policy and Oversight Committee will seek information on curriculum and programmatic issues from additional members of the Resident faculty, part time faculty teaching and/or advising in the program, and students, alumni, and larger social work community as appropriate.

## 2005.2 Committee Chairperson

The Ph.D. Program Policy and Oversight Committee will be chaired by the Ph.D. program director. The Director is a faculty administrative position appointed by the Dean in consultation with the resident faculty.

## 2005.3 Functions and Duties of the Committee

The purpose of the Committee is to provide sufficient oversight and direction to ensure that the program uses current standards and best practices of doctoral education in terms of admissions, curriculum, and clinical and research training.

The Ph.D. curriculum shall be formally instituted by a vote of the faculty following the School's curricular policies regarding new courses.

The Committee is responsible for:

- Ph.D. program admission process working with the Associate Dean for Graduate Enrollment and Student Services
- Implementation of the Ph.D. Program in conjunction with the faculty
- Monitoring and evaluation of the program stated goals and objectives
- Monitoring and evaluation of program infrastructure and resources to ensure the delivery a rigorous educational experience

# Appendix A: National Council for State Authorization Reciprocity Agreements (NC-SARA) Notifications and Procedures

## Appendix National Council for State Authorization Reciprocity Agreements (NC-SARA) Notifications and Procedures

Smith College School for Social Work has been approved to participate in the National Council for State Authorization Reciprocity Agreements.

### What is NC-SARA?

SSW participates in the National Council for State Authorization Reciprocity Agreements (NC-SARA). As a member organization, we are required to provide any student enrolled in one of our online courses with the following:

- Professional Licensure Disclosure
- SARA - Student Records Management Policy
- Student Complaint Procedures for Online Students

### Professional Licensure Disclosure

Latest review: August 2022, Office of the Associate Dean for Academic Affairs

In compliance with Federal Regulations, 34 CFR §668.43 (2019 Rule), and State Authorization Reciprocity Agreements (SARA) Manual version 19.2, the Smith College School for Social Work provides the following disclosure related to the educational requirements for professional licensure in social work.

This disclosure is strictly limited to the School's determination of whether its Master of Social Work (MSW) educational program, if successfully completed, would be sufficient to meet the educational licensure requirements in a state for the practice of social work. This determination is based on the educational and curricular requirements of each state for licensure (excluding any special or temporary licensure that may be granted) and does not imply that other requirements for licensure do not exist or have been determined to have been met by this program or that any necessary approvals for clinical placements have been secured at the time of enrollment. The School cannot provide verification of an individual's ability to meet licensure

or certification requirements unrelated to its educational programming. Such individual determinations are made by state licensing boards, and are fact specific determinations.

This disclosure does not provide any guarantee that any particular state licensure or certification entity will approve or deny your application. Furthermore, this disclosure does not account for changes in state law or regulation that may affect your application for licensure and occur after the date of this disclosure.

Enrolled students and prospective students are strongly encouraged to contact their State's licensure entity using the links provided to review all licensure requirements imposed by their state(s) of choice.

The School for Social Work has designed an educational program curriculum for its Master of Social Work program that if successfully completed is sufficient to meet the requirements for the first level of licensure at the master social work level in all of the states/territories of the United States.

Please visit the [Association for Social Work Boards website](#) for a list of state-specific licensure requirements.

If you have any questions about your coursework as it pertains to licensure readiness, please contact the Associate Dean for Academic Affairs at [sswdean@smith.edu](mailto:sswdean@smith.edu)

## **SARA - Student Records Management Policy**

Smith College School for Social Work has established student records management policies that ensure the protection and security of student academic records. As a part of the Smith College Office of the Registrar, the SSW Registrar maintains in perpetuity the confidentiality, integrity, and security of all physical student academic records in its on-campus office. All digital records are maintained and secured in accordance with the following relevant Colleges' policies governing records management and in conformance with the Commonwealth of [Massachusetts Statewide Records Retention Schedule](#).

[Acceptable Use Policy](#): Comprehensive policy on the college's standard for acceptable use of all institutional Information Technology related resources and services.

### **Other Resources**

- [Comprehensive Information Security Program](#): An umbrella document that brings together multiple information and data security processes and policies intended to enhance the overall security of the information that touches all aspects of the college.
- [Staff Handbook](#)
- [Student Handbook](#)

## Safeguarding Student Records in the Event of College Closure

In the event of institutional closure, Smith College School for Social Work will comply with all requirements of the Massachusetts Department of Higher Education (Mass DHE) and the Commission on Institutions of Higher Education (NECHE) of the New England Association of Schools and Colleges to secure records and afford students access to their records. The institution would comply with all requirements including:

- [NECHE's Considerations When Closing and Institution of Higher Education](#);
- [NECHE's recommendations for Teach-Out Plans and Teach-Out Agreements](#);
- [Mass DHE's Massachusetts Board of Higher Education's Institutional Closure requirements](#);
- Mass DHE's [Records from Closed Institutions](#) for transcripts and diploma information.

Questions or concerns regarding this policy should be directed to the Office of the Dean of Smith College School for Social Work at [sswdean@smith.edu](mailto:sswdean@smith.edu).

## Student Complaint Procedures for Online Students

**SSW Complaint Procedure:** If any student participating in distance learning has a concern about the course and/or its instruction, they are asked to first try to resolve instructional concerns with the faculty member teaching the course. If the student concern is not resolved at this level, students are encouraged to meet with the chair of the curricular sequence or the Associate Dean for Academic Affairs who oversees the M.S.W. curriculum and its implementation. The ADAA may be reached through email at [sswdean@smith.edu](mailto:sswdean@smith.edu).

After all instructional or administrative remedies have been exhausted with the School, the student may submit a SARA Complaint with the Department of Education.

**For Online Students Located in [SARA Member States and Territories](#)** After you have exhausted the complaint procedures made available by Smith College, located at [smith.edu/academic-grievances](http://smith.edu/academic-grievances), if your complaint has not been resolved, you may file a complaint with the DHE by using the [SARA complaint form](#). The DHE [SARA complaint form](#) should be used by students who are located in [SARA member states and territories](#). This includes all students who are located in SARA member states and territories for the purposes of completing out-of-state learning placements, such as internships, practica, clinical experiences, etc. in SARA member states and territories outside Massachusetts.

**For Massachusetts Residents and Online Students in Non-SARA Member States and Territories**

After you have exhausted the complaint procedures described above, if your complaint has not been resolved, you may file a consumer complaint with the Massachusetts Attorney General's Office (AGO) by using the [consumer complaint form](#). The AGO [consumer complaint form](#) should be used by students who are located in:

- Massachusetts
- Non-SARA Member States or Territories (e.g., California, Guam, etc.)

Additional information from the DHE's [SARA complaint website](#) is below:

The SARA complaint process is as follows:

1. Students must first attempt to resolve their complaint using internal administrative procedures offered by the SARA institution.
2. After all administrative remedies have been exhausted with the MA-SARA institution, the student may submit a SARA Complaint via this website:  
<https://www.mass.edu/foradmin/sara/complaints.asp>
3. The Department shall send a copy of the complaint to the institution that is the subject of the complaint;
4. Within 30 days of the date that the Department sends a copy of the complaint to the institution, the institution must provide a written response to the student and the Department.

**Additional Information** More information about DHE's complaint processes can be found [here](#).

Smith College will not in any way retaliate against an individual who reports a perceived violation of Smith policy, state, federal, or local law. Further, Smith will not tolerate retaliation by any employee or student.

# Appendix B: Guidelines for Authorship, Ownership and Acknowledgement

## Introduction

For many students, work in a graduate program constitutes the first experience of professionally reporting and writing results from research projects in which many persons, in varying roles, may have been involved. The Code of Ethics for the National Association of Social Workers states the following:

## Acknowledging Credit

1. Social workers should take responsibility and credit, including authorship, for work they have actually performed and to which they have contributed.
2. Social workers should honestly acknowledge the contributions made by others.

Authorship is viewed as a nourishing experience for the academic environment. Therefore, the role of the mentor in this process is to assist the student in learning the craft of scholarly writing and to facilitate the student's career and his/her publishing record.

The following guidelines develop these ideas with considerable specificity. It is hoped that they will be helpful as students begin work with faculty and other students on research projects and publications.

## Authorship of Research Paper

1. Faculty members should formulate and discuss their general philosophy and practices for publication credit with students and colleagues prior to beginning a research project. A student should feel free to ask a faculty member about these matters. Such a discussion does not imply commitment to a particular authorship assignment, but there should be agreement on the principles and practices to be followed should collaboration ensue.
2. The determination of and order of authorship in faculty-student collaborations should be guided by the principles proposed by Fine and Kurdek (1993):
  1. Early in the collaborative endeavor, the faculty members should provide the student with information related to how authorship decisions are made, the nature of professional and nonprofessional contributions to publications, the meaning of authorship credit and order, and the importance of both parties agreeing on what contributions will be expected of each collaborator for a given level of authorship credit. This information will provide the student with the

knowledge necessary to exercise his or her autonomy and to choose whether to participate in the authorship determination process.

2. The faculty member and student should assess the specific abilities of each collaborator, the tasks required for completing the scholarly publication, the extent of supervision required, and appropriate expectations for what each collaborator can reasonably contribute to the project.
3. On the basis of this assessment, the collaborators should discuss and agree on what tasks, contributions, and efforts are required of both parties to warrant authorship and to determine the order of authorship.
4. Agreements regarding authorship credit need to be renegotiated for two reasons. First, scholarly projects often take unexpected turns that necessitate changes in initial agreements made in good faith. Second, many manuscripts need to be revised substantially before they are accepted for publication. These revisions may require additional professional contributions beyond those necessary for the completion of the initial draft of the manuscript. Since the relative contributions of authors often changes over the course of a project, the faculty member and student should agree on when these issues will be revisited (e.g., at the end of the semester of an independent study, at the end of a summer research assistantship, when a proposal is due for a conference, when a draft article is ready for submission to a journal, etc.). If either the faculty member or student feels it is desirable, they may consider drafting a brief memorandum summarizing their verbal agreement regarding authorship and the division of labor.

Authorship should be based on the following 4 criteria:

- Substantial contributions to the conception or design of the work; or the acquisition, analysis, or interpretation of data for the work; **and**
- Drafting the work or revising it critically for important intellectual content; **and**
- Final approval of the version to be published; **and**
- Agreement to be accountable for all aspects of the work in ensuring that questions related to the accuracy or integrity of any part of the work are appropriately investigated and resolved.

## Order of Authorship

Student-faculty research collaboration commonly leads to conference or other public presentations as well as to publications in journals or books. It is recommended that the issue of authorship assignment be discussed at the earliest feasible point in the collaboration so that possible misunderstandings can be avoided. In such discussion, it is recommended that the general APA guidelines as presented in the article by Bridgewater, Bornstein, and Walkenbach (1981) be followed:

1. design and manuscript writing warrants first authorship;
2. data collection, analysis, and literature reviews are minor contributions and do not warrant senior authorship;
3. the amount of time devoted is not to be a criterion, but rather the quality of the contribution; and
4. faculty status should not make a difference in assigning first authorship.

## **Co-Authorship**

The student author is expected to be the lead author on any publication version of the comprehensive exam and the dissertation. The justification for this rule is that the School requires that both the comprehensive exam and the dissertation be based on original contribution by the student as well as leadership on their part in carrying the project.

Faculty members may have a justifiable claim to co-authorship on comprehensive exam and dissertation-based publications as they frequently involve significant degree of collaboration with, and mentoring by, faculty.

It is recommended that agreement regarding authorship should be reviewed before the writing for publication is undertaken and at the time of submission. If disagreements arise, a third party using these guidelines should resolve them.

## **Acknowledgments and Credits**

Regardless of authorship, assignment on a published version of a dissertation, both (a) the fact that the research was based on a dissertation project, and (b) the name of the author of the dissertation are to be included in the footnote to the published manuscript. Financial support of the research (grants or studentships) is also to be acknowledged in a footnote that includes the name(s) of the granting organization(s) and the recipient(s).

No policies or procedures can prevent the occurrence of all instances of actual or perceived unfair treatment. Although inequities can occur to either faculty or graduate students, graduate students are usually more vulnerable to faculty practices and less able to take action when they feel that fairness has been violated.