PhD Student Manual

2018 – 2019

cutting-edge research training

personalized mentoring

global opportunities
# TABLE OF CONTENTS

**MESSAGE FROM THE DIRECTOR** ................................................................................................................................. 1
**ESSENTIAL ABILITIES AND ATTRIBUTES FOR SOCIAL WORK STUDENTS** .............................................. 2
**THE SCHOOL’S FACILITIES** ........................................................................................................................................... 5
**ADMINISTRATORS AND FULL-TIME FACULTY** ............................................................................................................ 6
**SCHOOL AND UNIVERSITY RESOURCES** ...................................................................................................................... 8

- Student ID ............................................................................................................................................................................. 8
- NYUHome .............................................................................................................................................................................. 8
- Albert .................................................................................................................................................................................... 8
- Email .................................................................................................................................................................................. 8
- Information Technology Services (ITS) ............................................................................................................................. 8
- University Libraries ........................................................................................................................................................... 8
- Bookstores ........................................................................................................................................................................... 9
- PhD Program Google Drive ............................................................................................................................................ 9
- Doctoral Student Association .......................................................................................................................................... 9
- The Henry and Lucy Moses Center for Students with Disabilities .................................................................................... 9
- Student Health Insurance .............................................................................................................................................. 9
- Student Health Center .................................................................................................................................................... 10
- Wellness Exchange/Counseling and Behavioral Health Service .................................................................................... 10
- Travel Stipends ............................................................................................................................................................... 10

**IMPORTANT UNIVERSITY POLICIES AND PROCEDURES** .............................................................................................................. 11

- Immunization Requirements ................................................................................................................................................ 11
- Family Educational Rights and Privacy Act of 1974 (FIERPA) .......................................................................................... 11
- Bias, Harassment, and Discrimination Compliance ......................................................................................................... 11
- Policies and Procedures Concerning Sexual Assault ....................................................................................................... 11
- Policies on Substance Abuse and Alcoholic Beverages ..................................................................................................... 11
- Access to Student Records ............................................................................................................................................... 12

**OVERVIEW OF THE PHD PROGRAM** ........................................................................................................................................... 13

- Program Description .......................................................................................................................................................... 13
- Doctoral Program Committee ........................................................................................................................................ 14
- Degree Requirements ....................................................................................................................................................... 14
- Deadlines for Completion of Degree Requirements ........................................................................................................ 14
- Registration ......................................................................................................................................................................... 15
- Arrears Payment Policy .................................................................................................................................................... 15
- Financial Support .............................................................................................................................................................. 15
- Field Instructor Tuition Remission .................................................................................................................................. 16
- Pre-Dissertation Advisement ........................................................................................................................................ 16
- Admission to PhD Candidacy ........................................................................................................................................ 16
- Doctoral Dissertation Research Credits ........................................................................................................................ 16
- Half-Time Equivalency during Dissertation Phase ......................................................................................................... 16
- Transfer Credit .................................................................................................................................................................... 16
- Visiting Doctoral Student Protocol ................................................................................................................................ 16

**ACADEMIC POLICIES** ....................................................................................................................................................... 18

- Policy on Plagiarism and Academic Integrity .................................................................................................................. 18
- Guidelines for Course Grading ........................................................................................................................................ 18
Policy on Incomplete Grades ......................................................................................................................... 21
Policy on Withdrawal From Classes .................................................................................................................... 22
Policy on Academic Probation .............................................................................................................................. 22

POLICY ON DISCIPLINE .................................................................................................................................... 23

STUDENT GRIEVANCE PROCEDURES ............................................................................................................ 26

LEAVES OF ABSENCE ....................................................................................................................................... 28

Physical Medical Leave ......................................................................................................................................... 28
Non-Medical Leave of Absence ............................................................................................................................. 29
Student Leave FAQs ............................................................................................................................................... 29

WITHDRAWAL FROM THE PROGRAM .............................................................................................................. 32

ACADEMIC AND RESEARCH ORGANIZATIONS IN SOCIAL WORK ................................................................. 30

Caucus of LGBT Faculty and Students in Social Work ........................................................................................ 33
Council on Social Work Education (CSWE) ............................................................................................................ 33
Group for the Advancement of Doctoral Education in Social Work (GADE) ........................................................ 33
Society for Social Work and Research (SSWR) ....................................................................................................... 33
SWRnet .................................................................................................................................................................. 34

COMPETITIVE AWARDS FOR DOCTORAL STUDENTS .................................................................................. 34

Diane Greistein Memorial Fellowship .................................................................................................................... 34
Robert Moore Award for Excellence in Scholarship ................................................................................................. 34
GADE Student Award for Research ...................................................................................................................... 34
GADE Student Award for Leadership and Service ................................................................................................. 35
SSWR Doctoral Fellows Award ................................................................................................................................ 35
Outstanding Social Work Doctoral Dissertation Award ........................................................................................... 35
Council of Social Work Education Minority Fellowship Program .......................................................................... 35

DOCTORAL PROGRAM CURRICULUM .................................................................................................................. 37

Course of Study ..................................................................................................................................................... 37
Social Work Common Core .................................................................................................................................... 37
Career Preparation and Scholarly Impact ................................................................................................................. 37
Methodological Specialization ................................................................................................................................. 37
Substantive Area of Expertise .................................................................................................................................. 38
Electives .................................................................................................................................................................. 38
Independent Study Electives ................................................................................................................................... 38
Course Waivers and Sequence Change Policy ......................................................................................................... 38
Research Practicum ............................................................................................................................................... 39
Teaching Preparation .............................................................................................................................................. 40

THE QUALIFYING EXAM .................................................................................................................................. 42

Format and Topic .................................................................................................................................................. 42
Qualifying Exam Committee ................................................................................................................................... 42
Process and Grading ............................................................................................................................................... 42

THE DISSERTATION ............................................................................................................................................. 43

Criteria .................................................................................................................................................................. 43
Responsibility ......................................................................................................................................................... 43

THE DISSERTATION PROCESS ............................................................................................................................. 44
MESSAGE FROM THE DIRECTOR

Welcome to the Silver School of Social Work PhD program. Our program will offer you the preparation necessary for a successful career at a research-focused academic institution and for leadership roles in social welfare programs and policies. The program’s curriculum is designed to provide you with rigorous conceptual and methodological training in both quantitative and qualitative research. You will be paired with a research mentor throughout the entire program to ensure competency in core research, scholarship, and teaching areas. Our aim is to prepare and competitively position our graduates for academic and research career, such as faculty positions at top research universities, independent investigators at top research institutes, and social work leaders.

Our faculty is especially renowned for expertise in several key areas, including poverty studies, mental health research, substance misuse, and children and family research. Silver faculty have a strong portfolio of NIH and other research projects that are supported through extramural grant funding and provide doctoral students with cutting edge training opportunities.

In addition to the guidelines described in this manual, we also advise you to read through the University's Student Community Standards which articulate NYU’s policies on student conduct, grievance produces, and compliance measures. Students at the Silver School of Social Work are also expected to adhere to the National Association of Social Workers’ Code of Ethics (2008). All forms mentioned in this manual are available on the PhD Program Google Drive.

Please do not hesitate to contact the PhD Program Office at silver.phd@nyu.edu if you have any questions, concerns, or feedback. We wish you the best in your academic and professional pursuits.

Wen-Jui Han, PhD
Professor and Director, PhD Program
ESSENTIAL ABILITIES AND ATTRIBUTES FOR SOCIAL WORK STUDENTS

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

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

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

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

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

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

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

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

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

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

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

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

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

Policies and Procedures: The Silver School of Social Work (Silver) is committed to providing a supportive and structured environment for the development of scholars, researchers, and teachers. It is expected that the responsibilities of students, faculty, and staff will be discharged with impartiality, reason, and consistency. To this end, it is the responsibility of all members of the Silver community to respect and comply with all Silver Policies and Procedures as well as all University rules and policies.

Dean’s Designee: The Dean of the Silver School of Social Work may designate any member of the administration of Silver to fulfill any of the Silver procedural roles outlined in this document in place of the indicated Silver administrator in any case where either there is a clear conflict of interest involving the indicated administrator or the position of the indicated administrator is vacant.

Students: Students are under the authority of Silver Policies and Procedures from the first day of the first term in which they enroll in a Silver sponsored program. Students remain under the authority of these rules until they graduate or officially separate from Silver.

Student Conduct: All students in the Silver community must abide by the University Student Conduct Policies.

 Discrimination, Harassment, and Sexual Misconduct: All members of the Silver community must abide by the University’s Non-Discrimination and Anti-Harassment Policy and Complaint Procedures for Students, the Non-Discrimination and Anti-Harassment Policy and Complaint Procedures for Employees, and its Sexual Misconduct, Relationship Violence, and Stalking Policy which outline the policies and procedures regarding all forms of prohibited discrimination, harassment, and sexual misconduct.

Academic and Research Integrity: All students in the Silver community must abide by the University’s policies on Academic Integrity for Students at NYU and its Principles and Procedures for Dealing with Allegations of Research Misconduct, as well as the policy on Retention of and Access to Research Data. In addition to University policies, all students must also abide by the Silver Policy on Academic Integrity.

Conflict of Interest, Intellectual Property and Research with Human Subjects: All members of the Silver community must abide by the University’s policies governing Academic Conflict of Interest and Conflict of Commitment, its Statement of Policy on Intellectual Property, and the policies governing Research with Human Subjects.

Environmental Health and Safety. All members of the Silver community must follow the policies and procedures of the Office of Environmental Health and Safety.

THE SCHOOL’S FACILITIES

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

Regarding building operations, please note the following guidelines:

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

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

The student lounge is located on the garden level of the School. The lounge can only be accessed through the School’s main entrance on University Place. The PhD Student Lounge with access to computers is located on the fourth floor, room 416A.

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

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

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

Administrators (partial listing)

Wen-Jui Han
Director, PhD Program

Genielle Salazar
Assistant Director, PhD Program

Sandra Kim
Associate Dean, Administration and Finance

Byron Cortes
Financial Aid Assistant

Bruss Del Valle
Director, Research Development and Planning

Neil Guterman
Dean and Paulette Goddard Professor

James Martin
Associate Dean for Academic Affairs and Director of MSW program

Courtney O’Mealley
Assistant Dean, Student and Alumni Affairs

Robert Sommo
Assistant Dean, Enrollment Services

For a complete list of administrative staff, see: The School of Social Work Directory

PhD Program Committee and their Research Interests

Jeane W. Anastas, Professor; Director, Strategic Planning and New Initiatives
Women’s issues, GLBT rights, mental health, social work education, practice research

Suzanne E. England, Professor
Aging, dementia, memory, policy narrative, social media in social work, and leadership and practical ethics in nonprofits

Wen-Jui Han, Professor; Director, PhD Program; Global Public Health Affiliate Faculty; NYU Population Center Affiliate Faculty
Social welfare policy, poverty and inequality, children and families, immigrants

Marya Gwadz, Professor of Social Work and Associate Dean for Research
social/behavioral interventions to improve health equity; culturally appropriate interventions; the multiphase optimization strategy (MOST); adaptive intervention designs; reducing disparities in HIV incidence, prevalence, and health outcomes; poverty

Deborah Padgett, *Professor; McSilver Faculty Fellow; Global Public Health Faculty*
Homeless adults with co-occurring mental and substance abuse disorders, cross-cultural research

Rohini Pahwa, *Assistant Professor*
Serious mental illness, mental health services, cross-cultural research, community integration

Shulamith Lala Straussner, *Professor*
Substance abuse, mass violence and trauma, mental health, international social work

For a complete list of full-time faculty, see: [Faculty Full-Time webpage](#).
SCHOOL AND UNIVERSITY RESOURCES

STUDENT ID
All students must procure an NYU ID Card at the NYU Card Center, 7 Washington Place. The ID card is necessary to gain access to NYU facilities throughout the campus. Students can also activate "Campus Cash" to use as a debit card throughout the NYU campus and at participating local merchants. For more information about the NYU ID Card or Campus Cash, please visit Get an NYU Card or call (212) 443-2273.

NYUHome
NYUHome is the portal to all of the University’s electronic resources and services. To activate your NYUHome account from any computer, go to NYU Homepage and follow the instructions.

Albert
Albert is NYU’s student information system. Albert is used to register for classes, access information about classes such as grades, schedule, and location; access information about tuition balance due; and receive other information from the Registrar and Bursar. Albert can be accessed through the Academics tab on NYUHome.

Email
All students must have Internet access and an NYU email address in order to keep current with information from the PhD Program, the Silver School, the University, and to complete work for some courses. NYU email is on the Google Mail server, so students can access it from any technology that supports Gmail. It is absolutely critical that students check their NYU email regularly. To help facilitate this, students may set up mail forwarding in their NYUHome preferences, so that email sent to their NYU address is forwarded to their preferred account. Note that the vast majority of communication between the PhD Program Office and students is conducted via email.

Information Technology Services (ITS)
ITS is the University’s central organization for technology-based services, including computer, telephone, and Internet services. It is strongly recommend that students familiarize themselves with the description of services and information for students provided on the ITS website.

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

Bobst Library has individual study carrels that can be rented for use by PhD students who have approved dissertation topics (i.e., students must be in the dissertation phase of the program to rent). Information about renting study carrels is available at library.nyu.edu/about/policies/lockers.html. Note that because demand for study carrels far exceeds the supply, there is a waiting list.
The librarian assigned to the Silver School is Arthur Tannenbaum ([arthur.tannenbaum@nyu.edu](mailto:arthur.tannenbaum@nyu.edu), 212-998-2604), who is available to assist students in accessing materials or learning to use library facilities.

**Bookstores**

Information about NYU Bookstores is available at [The NYU Bookstore](http://www.the-nyu-bookstore.com). The Main Bookstore, which carries texts for all social work courses, is located at 726 Broadway (212-998-4667). You can exchange or refund book purchases from the Bookstore within 14 days provided that they are in their original packaging. After that books can be sold back for a minimal price. [The Computer Store](http://www.computer-store.com) is located at 726 Broadway (212-998-4672). The store sells computer hardware, software, and accessories, and it also has a repair/service department. The store offers interest-free loans for computers.

**PhD Program Google Drive**

All students are automatically granted access to the [PhD Program Google Drive](http://phdprogramgoogledrive.com). This folder will include electronic forms (equivalency requests, dissertation committee requests, conference support requests, progress reports, etc.) and external faculty and post-doctoral fellowship openings that students can access provided they are logged in with their NYU Net ID. Please be sure to check the Google Drive regularly for the latest program information.

**Doctoral Student Association**

The [Doctoral Student Association (DSA)](http://www.dsa.com) is an advocacy group for PhD students at the Silver School of Social Work University that is concerned with the overall wellbeing of Silver doctoral students and with their participation in the social, academic and professional life of the school. It functions as a unifying body for all doctoral cohorts. The DSA also collaborates with doctoral students from other academic departments, within and outside of NYU, especially with PhD students at other schools of social work in the region. Towards the accomplishment of these goals, the DSA serves as a liaison between SSSW faculty, university administrators, and students. The DSA maintains an office (416A) that is also available for general student use. The DSA Office contains six (6) PCs preloaded with up-to-date statistical software that is used for coursework and the research practicum. The DSA can be contacted at [silver.dsa@nyu.edu](mailto:silver.dsa@nyu.edu).

**The Henry and Lucy Moses Center for Students with Disabilities**

[The Moses Center for Students with Disabilities](http://www.mosescenter.com) (726 Broadway 2nd floor, 212-998-4980, [mosescsd@nyu.edu](mailto:mosescsd@nyu.edu)) provides information and services to students with disabilities. Any student with a documented disability who needs to arrange reasonable accommodations must contact the course instructor and the Moses Center at the beginning of the semester. An instructor cannot make accommodations without official documentation from the Moses Center.

**Student Health Insurance**

Most students are automatically enrolled in one of the University’s student health insurance plans when they matriculate in a degree program (students with outside health insurance will need to file a waiver). Information about coverage options, including waiver from coverage, is available on the [Student Health Center webpage](http://www.studenthealthcenter.com). Student Health Insurance Services is located at 726 Broadway, suite 346; you can contact the office via email at [health.insurance@nyu.edu](mailto:health.insurance@nyu.edu) or phone at 212-443-1020.

**Student Health Center**
The Student Health Center offers routine and walk-in primary care and women’s health services at either no cost or reduced cost to all matriculated NYU students. The Student Health Center is located at 726 Broadway, on the third and fourth floors. For hours, contact information, or to learn more about the services offered, visit the website at The Student Health Center webpage.

Wellness Exchange/Counseling and Behavioral Health Service
The Wellness Exchange encompasses the University’s mental health, support, and recreational services for students. Visit the Wellness Exchange website to see its array of services. In an emergency, students are encouraged to call the Wellness Exchange Hotline (212-443-9999), which is available any time of day or night, seven days a week.

All NYU students enrolled in a degree program can access Counseling and Behavioral Health Services, located at the Student Health Center at 726 Broadway, Suite 471. Information is available on its webpage. Services include short-term individual and group counseling, referrals, and psychiatric medication. All services are confidential. Students may call to make an appointment (212-998-4780) or visit during walk-in hours. Students can also contact CBH via email (wellness.exchange@nyu.edu).

TRAVEL STIPENDS
The PhD Program will review all requests for doctoral student scientific conference presentation reimbursements. All request forms must be submitted prior to the beginning date of the conference to be considered for reimbursement. Approvals will be contingent on the scientific quality of the proposed research presentation and prominence of the conference. Due to limits in available resources, not all requests will be approved. The scientifically strongest presentations will be selected for reimbursement funding, and thus students are encouraged to develop the presentation jointly with a Silver faculty research mentor. The approved reimbursement will cover travel expenses (airfare/rail, hotel) and registration expenses (conference registration, membership dues) with a maximum one-time reimbursement of $500. Miscellaneous expenses, such as food purchases or additional hotel charges/services, will not be covered. Students must use the approved PhD Program Office PowerPoint presentation template. The request form and template can be obtained from the PhD Program Google Drive.
IMPORTANT UNIVERSITY POLICIES AND PROCEDURES

IMMUNIZATION REQUIREMENTS
All students born after December 31, 1956 are required to submit records indicating immunization against measles, mumps, and rubella (MMR vaccine) to the NYU Student Health Center. Note that a student’s registration will be blocked until the student has complied with this requirement. In addition, New York State Public Health Law requires students to decide whether to be immunized against meningococcal meningitis and to provide formal confirmation of their decision. Failure to comply with this requirement, including completion of the Meningococcal Meningitis Vaccination Response Form, will result in denial of student registration privileges. For any questions, read more about the University’s health requirements or contact the Student Health Center (212-443-1000).

Family Educational Rights and Privacy Act of 1974 (FERPA)
Among its several purposes, the Family Educational Rights and Privacy Act of 1974 (FERPA) was enacted to: protect the privacy of students’ educational records; establish the rights of students to inspect and review their educational records; and provide students with an opportunity to allow inaccurate or misleading information in their educational records to be corrected.

For further information, please contact the Silver School’s Office of Student Affairs at ssw.studentaffairs@nyu.edu or 212-998-5926.

Bias, Harassment, and Discrimination Compliance
New York University is committed to maintaining a campus environment that is free of bias, prejudice, discrimination and/or harassment predicated upon race, gender and/or gender identity or expression, color, religious affiliation, age, national origin, ethnicity, disability, veteran or military status, sexual orientation, marital status, citizenship status, or any other legally protected basis. Information about NYU policies regarding bias, harassment, and discrimination can be found at the Student Community Standards webpage, along with information on how to report and resolve bias, harassment, or discrimination incidents.

Silver School of Social Work students may refer instances of harassment to the Assistant Dean for Student and Alumni Affairs, Courtney O’Meally (212-998-9189). Students may discuss the circumstances of their complaint confidentially.

Policies and Procedures Concerning Sexual Assault
As set forth in the University’s Anti-Harassment Policy, in addition to obtaining medical and counseling support, students are encouraged to report such offenses as soon as possible—whether they occurred on- or off- campus—to the appropriate person identified in the Anti-Harassment Policy, the NYU Department of Public Safety, a Residence Life and Housing staff member, or the Dean of Students in their school. For Silver students, these issues can be reported to the Assistant Dean for Student and Alumni Affairs, Courtney O’Mealley (212-998-9189).

Policies on Substance Abuse and Alcoholic Beverages
NYU is committed to creating and maintaining a campus environment that is free of alcohol and substance abuse and one that that complies with applicable New York State and/or local laws in effect at a NYU Study Abroad site. New York University views the abuse of alcohol and legal drugs and the use of illicit drugs as being antithetical to the pursuit of educational excellence and the realization of one's full potential as a student and member of this community. Accordingly, the University takes very
seriously its obligation to address the issue of all forms of substance abuse. More information about these policies can be found online.

*Access to Student Records*
Student admissions applications and subsequent materials added to them are the sole property of New York University. Students who wish to review their records must complete a record request form in the Office of Academic Program Review, 194 Mercer Street, Room 403F. The request should specify what records are to be inspected. Students will be notified when the records are available for inspection. The Office phone number is 212-998-2310.
OVERVIEW OF THE PHD PROGRAM

Program Description
The Silver School of Social Work’s PhD Program was established in 1980. The social work PhD program develops scholars who, through the conduct of original research and the generation of theory, will contribute to the knowledge base of social work profession. The program’s curriculum is designed to provide students with not only sound substantive knowledge but also rigorous conceptual and methodological training in quantitative and qualitative research. The program is aimed at preparing graduates for successful careers as independent investigators and social work leaders at research intense academic institutions and for leadership roles in social welfare programs and policies.

The Silver School of Social Work at New York University provides a unique environment for doctoral study, combining the advantages of a leading research university with the benefits of a personalized mentoring experience within the classroom and as part of the research training provided by designated faculty mentors. NYU is a leader in global education offering students numerous domestic and international educational and research opportunities. The Silver School of Social Work has increasingly focused its PhD program on the development of cutting edge scholars and leaders capable of addressing contemporary social welfare issues both within the United States and across the globe. Students in the PhD program learn from faculty who are leading scholars, expert researchers, experienced clinicians, and dedicated teachers. Our students are also able to draw on the incomparable resources of New York, one of the world’s greatest and most diverse cities.

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

• Provide leadership in the development of knowledge in a substantive area that is important to social work practice, policy, and/or social service delivery.

• Conduct independent research that demonstrates advanced knowledge of the methodology used and that meets current publication standards.

• Engage in critical analysis of social work practice models and their underpinning theories, including evidence of empirical support.

• Critically examine social policies using established models of analysis.

• Draw upon established social science theories to generate hypotheses regarding issues relevant to social work practice and policy.

• Communicate effectively at a professional level, orally and in writing, the products of one’s scholarship to diverse constituencies.

• Compete successfully for academic and research positions in social work or related disciplines.

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

**PhD Program Committee**
The PhD program committee (PhDPC) advises the director of the program on curriculum, policies, and other issues. The PhDPC faculty members comprise the PhD admissions committee as well. The program director is the chair of the committee, and six tenured or tenure-eligible faculty members are appointed by the Dean for three-year terms. PhD students elect two representatives (one representing matriculating students and the other representing students who are ABD) to the PhDPC each year for a one-year term.

**Degree Requirements**
The requirements for the PhD degree are completion of a minimum of 48 credits in coursework beyond the master's level, a passing grade on the qualifying exam, and the successful completion and defense of a PhD dissertation. Students must also maintain a grade point average of at least 3.0 and meet the completion deadlines described below.

**Deadlines for Completion of Degree Requirements**
Full-time students are strongly encouraged to successfully defend their dissertation within four or five years of initial enrollment in the program, with a maximum allowable time (in rare cases) to successfully defend their dissertation within seven years of initial enrollment in the program. In addition, all students must complete the qualifying exam within a three to six-month timeframe after completing of coursework (for cohorts entering before AY2018). And, all students are expected to produce an accepted dissertation proposal within one year of passing the qualifying exam. Failing to successfully defend a proposal within the one-year timeframe post passing the QE will initiate the formation of a status committee in consultation with the student’s faculty advisor (see pp. 22-23 below for details). Students who need to go beyond the one-year timeframe to defend their proposal are required to submit, to the program director, substantial evidence demonstrating progress that has been made toward defending the proposal as well as a timeline to defend the proposal; the submitted document needs both the student and the faculty advisor's signatures.

Part-time students have up to ten years after initial enrollment to complete the program. In addition, all part-time students must complete the qualifying exam within one-year timeframe post completing of coursework (for cohorts entering before AY2018). And, all part-time students must produce an accepted dissertation proposal within two years of passing the qualifying exam. Failing to successfully defend a proposal within the two-year timeframe after passing the QE will initiate the formation of a status committee (see pp. 22-23 below for details). Students who need to go beyond the two-year timeframe to defend their proposal are required to submit, to the program director, substantial evidence demonstrating progress that has been made toward defending the proposal as well as a timeline to defend the proposal; the submitted document needs both the student and the faculty advisor's signatures.

Extensions to these deadlines for up to one year may be granted at the discretion of the director of the program only when there is demonstrated progress toward the completion of the dissertation with documented support of this progress from the student's dissertation chair and (if applicable)
committee. Full-time students who have not defended their dissertation after six years of enrollment in the program will be notified that there is one year left to do so. For PhD students or committees requesting an extension past the maximum allowed time by the program, the student’s dissertation committee must submit a request, signed by the student and all members of the committee, to the PhD program office that includes:

1. A brief outline that clearly demonstrates tangible and articulated progress towards completing the remaining requirements.

2. The recommended amount of time needed past the original extension granted by the PhD program director (the period should be within 3-6 months unless there is a significant reason for a 12 month request).

3. A full, documented consensus from the members of the committee that the student is likely to complete the remaining requests at the end of the requested period.

4. In instances in which timely completion is not possible, the committee should convey that there is no evidence of progress, no reasonable plan for completion, that the work is substandard, etc.

5. The student and the committee agree and confirm that no additional extensions will be requested.

Once the signed request is submitted, the PhD program director will review the request in consultation with the PhD program committee and arrange a meeting with the student.

Registration
Registration is each student’s own responsibility. Prior to each semester, students will be sent information about registration. Failure to register in a timely manner at any point in the program, including throughout the dissertation phase, may result in dismissal.

Full-time students who plan to register for either more or less than 12 credits for any semester during the coursework phase of the program should notify the Assistant Director of the PhD Program about the exact number of credits for which they will be registering in order to avoid problems with their account.

Arrears Payment Policy
Money owed to the University from previous semesters must be paid in full before students can register for a new semester. Students who are in arrears with the Bursar on the day before they intend to register will be automatically blocked from registration. For inquiries regarding arrears, call the Bursar (212-998-2800). Students are responsible for resolving problems with their account in a timely manner in order to maintain matriculation; failure to do so may result in dismissal from the program.

Financial Support
Information about externally funded scholarships and fellowships and research assistant opportunities within the School is posted on the program’s Google Drive when available. Loan information is available from the School’s financial aid assistant, Byron Cortes.
Field Instructor Tuition Remission
Students in the program who are current field instructors at the Silver School of Social Work (MSW or BS level) are eligible for a 25% tuition remission in continuing education programs (e.g., breakfast workshops, certificate programs) and special seminars and workshops at no cost.

Pre-Dissertation Advisement
Upon beginning the program, PhD students will be assigned a faculty mentor. Students should take the initiative to get to know their mentor at the beginning of the first semester, and they should meet with their advisor a minimum of three times per semester.

Admission to PhD Candidacy
Students will be officially considered candidates for the PhD degree when their dissertation proposal has been accepted. Prior to having an accepted proposal, students should refer to themselves in any official capacity (e.g., curriculum vitae, publications, presentations) as a “PhD student” rather than a “PhD candidate.”

Doctoral Dissertation Research Credits
In order to maintain their matriculation status following completion of coursework, students must register for the one-credit course Doctoral Dissertation Research (PHDSW-GS 3026) each semester until they successfully defend their dissertation. Doing so retains access to the University’s resources, including the faculty and library. However, it does not imply that faculty are always available, especially during the summer months. Students are registered for the Doctoral Dissertation Research course the first non-summer semester after they complete coursework, and for every semester thereafter until they successfully defend their dissertation. Students are graded on a Pass/Fail basis based on the student progress report, which must be completed each semester. Failure to complete the student progress report or inadequate/unsatisfactory progress will result in not receiving a passing grade for the particular semester.

Half-Time Equivalency during Dissertation Phase
Half-time equivalency status qualifies students for the possibility of guaranteed student loans, and it also satisfies the requirement for deferral of payback on previous loans during the dissertation phase of the program. Students must request half-time equivalency status by submitting a completed half-time equivalency form, which may be obtained from the Google Drive, to the assistant director of the PhD program. Following submission of this form, half-time equivalency status will be maintained for one semester. A new form must be submitted each semester.

Transfer Credit
Normally, credit for required courses in the PhD program cannot be transferred from other institutions. For admissions purposes, transfer credit from other educational programs within the school or from other institutions is generally not allowed.

Visiting Doctoral Student Protocol
The purpose of the Visiting Student Program is to support doctoral student education through exposure to global opportunities. This includes both national and international visitors. The program seeks to foster mutual learning between both visiting and resident scholars within the NYU SSSW Community. Guidelines for visiting doctoral students are as follows:
Eligibility
• Must be in the pursuit of a PhD degree at an equivalent university
• Must be in good academic standing with home university
• Can only visit at NYU for one to two semesters
• Limited number of visiting students (one or two) per academic year

Acceptance Process
1. A faculty sponsorship agreement letter from an NYU faculty member must be signed and submitted to the PhD program office for review, including the following:
   a. Stated commitment to mentor and support visiting student for duration of visit at NYU.
   b. Stated commitment to include visiting student in relevant research training that would enhance the student’s learning, faculty research, and support the strategic vision of the PhD program and SSSW.

2. Student must submit a CV and a detailed statement of interest.
   a. Statement should include reason for selecting NYU SSSW, research interests, and research plan in collaboration with Silver faculty sponsor.
   b. Statement should include audit or formal enrollment requests for doctoral level courses that will further support the training and learning experience of the visiting student.

3. The visiting student application (sponsorship agreement and student statement) will be brought before PhD Program Committee (PhDPC) for committee approval.

4. If the PhDPC approves the application, the application will be submitted to the Dean’s office for final approval.
   a. Domestic students: approved domestic students must complete a NYU ID card authorization form.
   b. International students: NYU sponsors approved international students for J-1 visas, which requires the completion of a DS-2019 form and inclusion in the Student and Exchange Visitor Information System (SEVIS) with the NYU Office of International Scholars and Students. Federal regulations require that all J-1 exchange visitors have health insurance that meets specified minimum requirements. Approved international students must also fill out a NYU ID card authorization form.

5. The PhD program office will assist with processing to ensure the visiting student receives general NYU student privileges; including a NYU ID card, access to NYU e-mail, and access to NYU Bobst Library.
ACADEMIC POLICIES

POLICY ON PLAGIARISM AND ACADEMIC INTEGRITY

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

All students are expected to pursue the highest standards of academic excellence and integrity. Students must adhere to the highest standards of values, ethics, and behaviors upheld by Social Work profession at all time. A student's responsibilities include the following, but not limited to:

- A duty to respect the efforts of others by submitting his or her own academic work and case recordings
- A duty to acknowledge properly the efforts of others
- A duty to safeguard and respect the property and rights of others
- A duty to uphold ethical norms in research (i.e., ethical standards governing conduct in social science fields), and promote the values that are essential to research and academic work including such as accountability, trust, mutual respect, and fairness.

Definition of Plagiarism

Silver adheres to NYU's Policy for the Academic Integrity for Students, which defines plagiarism as “presenting others' work without adequate acknowledgement of its source, as though it were one's own. Plagiarism is a form of fraud. We all stand on the shoulders of others, and we must give credit to the creators of the works that we incorporate into products that we call our own. Some examples of plagiarism include:

- A sequence of words incorporated without quotation marks
- An unacknowledged passage paraphrased from someone else's work
- The use of ideas, sound recordings, computer data, or images created by others as though it were one's own”

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

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

*Ways to Avoid Plagiarism*

• When someone else has said something so well that you want to include it in your work, be sure to copy it exactly and indicate the copied portion(s)

• Familiarize yourself with the *Publication Manual of the American Psychological Association, 6th edition* (2009), which is used by the Silver School.

• A student is fully responsible for any work he or she submits. If the work is typed by a typist, the student must read the finished work to be sure that no references or quotation marks have been omitted.

• Understand that your reader will want to know the sources you used in your research/writing and may be concerned about phrasing that is not like your usual writing style. Online material must be clearly referenced as well.

• If you allow another student to copy your work (including computer programs and research data) and submit it as his/her own, or if you submit a copy of someone else's work and claim it as your own, you have plagiarized.

Please consult the University’s [policy on Academic Integrity for Students at NYU](#).

**GUIDELINES FOR COURSE GRADING**

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

• Clarity in the way in which attributes included in the guidelines will be weighted.

• Clarity in the basis for demonstrating performance (in other words, what evidence will be utilized) in regard to attributes.

• Clarity in the process that will be used by the instructor for offering feedback on performance.

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

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

**Attendance**

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

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

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

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

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

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

**POLICY ON INCOMPLETE GRADES**

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

1. It is expected that graduate students will complete all course requirements on time. Papers and other assignments not turned in by the due date may result in a lower grade for the specific assignment or the course.

2. Under special circumstances, students may request an “incomplete” grade from the instructor. Such circumstances should generally be extraordinary, such as a medical emergency. Incompletes may be granted at the discretion of the instructor, but are not to be considered an automatic entitlement.

3. In order to receive either an IP (incomplete pass) or an IF (incomplete fail), the student must submit a request for incomplete grade form, signed by the student and the appropriate faculty member, to the Office of Registration Services before grades are due. The written approval will include the reason for the request, the specific plan for completing requirements, and a due date for completion of requirements. The student and the course instructor will each retain a copy and the Office of Registration Services will provide a copy to the faculty advisor and retain a copy on file.

4. The instructor will determine whether an incomplete grade is recorded as IP or IF.

5. After one semester, an IP will automatically revert to an N on the student's transcript and an IF will automatically revert to an F. A student is automatically placed on academic probation if an incomplete grade remains for more than one semester or if student receives a grade of F.

6. If course requirements are not met on time and the student has not requested and received approval for an incomplete grade, the instructor will assign an N (no credit) or an F when grades are due.
7. Students with any incomplete grade will be blocked from registering for the next semester. The faculty advisor will be responsible for assessing the student's individual education plan and may approve registration for the next semester on a case by case basis. Incomplete grades are to be used infrequently and only for extraordinary circumstances.

**POLICY ON WITHDRAWAL FROM CLASSES**

Students who are considering withdrawing from a class must discuss it with the professor and faculty advisor. Upon withdrawing from a class students are subject to University policy and will be held responsible for related tuition and fees. Any questions about dropping a class should be directed to the Registration Services at silver.registration@nyu.edu. Students who withdraw from a class cannot audit the class; they must take the course at another time at their own expense.

**POLICY ON ACADEMIC PROBATION**

A PhD student who is on academic probation is considered not to be in good academic standing or not to be in good academic progress. Students will be automatically placed on academic probation for any of the following reasons:

1. A grade-point average of less than 3.0
2. A grade of lower than B- in any course
3. Failure to complete course requirements (as indicated by grade of IP or IF) within one semester following the end of the semester in which the course was taken.
4. Inadequate performance in the research practicum (e.g., did not fulfill required weekly hours, did not turn in agreed-upon tasks on time).
5. A lack of progress on program benchmarks (e.g. completion of coursework, completion of QE, proposal defense, and completion and defense of dissertation)

**Status Committee:** Academic probation triggers the formation of a Status Committee, which serves to help the student identify obstacles to remaining in good academic standing and provides guidance and support for helping the student plan for improvement. Status committees consist of three faculty members: the student's advisor, a member of the PhD program committee, and the director of the PhD program.

The program will provide written notification to the student of their probationary status as soon as practicable and within sixty (60) days after the final grades posted by the University (when applicable). The notification will inform the student of the ground for the determination, the specific steps that must be taken to return to good standing, the means by which the student's performance will be evaluated and the penalty that will be imposed if these requirements are not met.

When the student is required to repeat the course(s) with grade lower than B- as stipulated by the recommendations from the faculty on the Status Committee, students will be responsible for the tuition and fees for such repeating course(s).

**Timing of Notification:** If the student is notified within the first two weeks of a semester, the student may be required to complete all requirements by the end of that semester. If notification occurs after the first two weeks of a semester have been completed, the student has until the end of the next full semester (including summer) to complete all requirements.
Financial Aid: If a student is awarded funding or financial aid (fellowship, assistantship, tuition, fees, health insurance, or other awards), then the probation letter will state the consequences of the probation on the financial aid award(s) including the terms required for the continuation or resumption of the award(s).

Students who do not improve their academic performance or progress sufficiently within one semester of being placed on academic probation will be dismissed from the program. The criteria for sufficient improvement regarding academic performance are as follows: a grade-point average of 3.0 or higher, a grade of at least B- for any course, and no additional failures to complete course requirements (including the research practicum) in the probationary semester and thereafter. Students must be in good academic standing in order to progress from the coursework phase of the program to the qualifying exam and the dissertation. When academic probation is triggered in a student’s final semester of coursework, a status committee will determine the requirement(s) for returning to good academic standing. In addition, the criteria for sufficient improvement regarding academic progress are as follows: objective evidence showing substantial progress has been made in the probationary semester and thereafter (e.g., successfully completed QE, successfully defended proposal, successfully defended dissertation).

Students cannot be on academic probation more than once.

Termination Resulting from Failure to Satisfy Terms of Academic Probation or Failure to meet Program Requirement: Students on academic probation who do not satisfy the stated terms of probation may be formally terminated from the program.

Notification of Termination: The Program is required to provide written notification to students of their termination as soon as practicable. The notification must inform students of the grounds for termination, including the specific steps that the student failed to take to meet the program requirements, the effective date of the termination, and the appeal process available to the student.

Administrative Procedures

Probation and Termination of a Student: When a student is put on probation or terminated, the program must notify all relevant offices, including but not limited to, the Office of Global Services if the student is international, and Graduate Enrollment Services if the student is receiving Silver or program funding. If the program wishes to have a termination notated on the student’s transcript, the program must notify Records and Grading at the Office of the Registrar.

Registration Holds: After the Office of Academic and Student Affairs has notified the department that a student is out of academic good standing, it will place a registration hold on the student’s record. It will also place a registration hold on any student that has been terminated.

Policy on Discipline

Rules

Jurisdiction: The University Student Conduct Policies govern the behavior of all Silver students. University Bylaw 80 provides that the faculty of each school has disciplinary authority over its students. The procedures described below apply to student academic and behavioral misconduct.
Other violations of the University Student Conduct Policies may be addressed through the University Student Conduct Procedures. Cases of misconduct that fall within the University’s Non-Discrimination and Anti-Harassment Policy and Complaint Procedures for Students and the University’s Sexual Misconduct, Relationship Violence, and Stalking Policy will be reported to the Office of Equal Opportunity, which will oversee any investigation or resulting discipline.

**Academic Misconduct:** All students in Silver are expected to follow the University’s policies on Academic Integrity for Students at NYU and the Principles and Procedures for Dealing with Allegations of Research Misconduct. Academic integrity violations include, but are not limited to, offenses such as plagiarism, cheating, possession or use of any prohibited notes, reference resources, or data processing or other devices in any class or examination, and misrepresentation of academic credentials. Research integrity violations include, but are not limited to, fabrication, falsification, and plagiarism in proposing, performing, or reporting research results.

**Filing of a Program Complaint:** If a student engages in any form of academic misconduct, the individual with knowledge of the facts shall file a complaint with the Director of the PhD Program along with the PhD Program Committee.

**Student Notification by Program:** The Director of the PhD Program shall provide notice of the filing of the complaint to the student in writing within one (1) week of receipt of the complaint.

**Formal Resolution:** The Director of the Program and the PhD Program Committee shall meet with the student against whom a complaint has been filed, describe the complaint, and offer the student an opportunity to respond. The student shall be informed of his or her right to accept or reject the resolution offered by the PhD Program Committee. After considering all relevant information, the PhD Program Committee may inform the student of the terms, including where appropriate the imposition of a sanction upon which the PhD Program is willing to resolve the matter. Where the student agrees in writing to the terms of a resolution, a binding consensual resolution shall exist between Silver and the student. Where the PhD Program Committee is unable to resolve the complaint by consensual resolution, the PhD Program Committee shall forward the complaint to the Dean of the School.

**Behavioral Misconduct:** Behavioral misconduct includes conduct that impedes, obstructs or threatens the maintenance of the public order, interferes with or disrupts the regular operations and activities of the University, or constitutes a denial of or an unreasonable interference with the complainant’s rights. When activities undertaken by registered student organizations constitute a violation of this provision or violation of University rules or of public laws and regulations, a complaint may also be brought against such organizations as well as against the individual students belonging to such organizations.

**Filing of a Complaint:** In the case of behavioral misconduct a complaint shall be filed with the Director of the PhD program along with the PhD Program Committee.

**Notification by the Director of the PhD program:** The Director of the PhD program shall provide notice of the filing of the complaint to the student in writing within one (1) week of receipt of the complaint.

**Formal Resolution:** The PhD Program Committee shall meet with the student against whom a complaint has been filed, describe the complaint, and offer the student an opportunity to respond.
The student shall be informed of his or her right to accept or reject a resolution by the PhD Program Committee. After considering all relevant information, the PhD Program Committee may inform the student of the terms, including, where appropriate, the imposition of a sanction, upon which Silver is willing to resolve the matter. Where the student and the PhD Program Committee agree to terms in writing, a binding consensual resolution shall exist between Silver and the student. Where the PhD Program Committee is unable to resolve the complaint by consensual resolution, the PhD Program Committee shall forward the complaint to the Dean of the School.

Second Offense: The penalty for a repeat offense to a specific complaint will be termination from the PhD program.

ADMINISTRATIVE PROCEDURES

Penalty Guidelines: Because of the wide range of seriousness of offenses of any given general type, no specific penalties are suggested for first occurrences. Each case must be judged independently, taking into account the seriousness of the offense, aggravating and mitigating circumstances, and the general desirability of treating similarly situated students similarly. In all cases, it should be determined whether or not notice of the penalty should be placed on the student's record. As a guide to assessing the penalty to be applied, some possible considerations are outlined below for various general offenses.

Academic and research misconduct: If the offense had not been detected, would it have had significant impact on the student’s course grade and/or completion of degree requirements? Was there an attempt to subvert a primary degree requirement, such as a Ph.D. thesis? Was the offense spontaneous or premeditated and planned? Did the student act alone or were others knowingly involved? Was the offense an isolated incident or repeated?

Deliberate destruction, theft, or unauthorized use of laboratory data, research materials, computer resources, or University property: Did the student expect to profit academically from the offense? Was there damage to the academic materials of another student or of a faculty member? Were the materials of significant value to their owner? Can and should the student replace the materials or was the damage irreparable?

Disruption of an academic event: Was the action spontaneous and brief or extensive? Did the academic event continue after the disruption or was it postponed or canceled? Was more than one individual involved? Were there repeated incidents on separate occasions? Was the disruption of a threatening or violent nature?

Actual or threatened violence or threats of violence: Was the action premeditated? Was the threat repeated on separate occasions? Was human life threatened? What was the extent of bodily injury, if any? Was more than one individual involved in the offense? Does the student have a history of violent behavior?

Other forms of misconduct: Was the behavior willful? Was the behavior repeated on separate occasions? What was the extent of bodily injury caused by the behavior, if any? Was more than one individual involved in the offense? Does the student have a history of previous disciplinary actions or violent behavior?
**Definition of Penalties:** The following penalties may be imposed for a first offense:

*Warning:* Written reprimand, including notice that a one-semester suspension or a more severe penalty may result from a second disciplinary offense within the period of the censure specified in the letter of reprimand.

*Disciplinary Probation:* Suspension of privileges or exclusion from participation in extracurricular University activities as set forth in the notice of disciplinary probation for a specified period of time.

*Suspension:* Exclusion from classes as well as suspension of privileges and exclusion from other activities as set forth in the notice of suspension for a definite period of time. A student who has been suspended and against whom charges are dismissed or not sustained will be allowed full opportunity to make up whatever work was missed due to the suspension.

*Dismissal:* Termination of student status for an indefinite period. The conditions for readmission, if any are permitted, shall be stated in the order of dismissal.

**STUDENT GRIEVANCE PROCEDURES**

*Right to File a Grievance:* Any student registered in Silver courses or otherwise formally involved in Silver programs has the right to file a grievance. Certain types of grievances must be adjudicated within Silver, while others must be adjudicated at the University level. The following rules are designed to provide Silver students with a mechanism of redress.

*Grievances Adjudicated Outside Silver:* In the following cases, grievances must be adjudicated outside Silver. Questions about whether or not grievances fall within these guidelines should be addressed to either of the Assistant Deans, for Students or for Academic Affairs, in the Office of Academic and Student Affairs (OASA).

*Harassment, Discrimination, Sexual Misconduct.* If the matter involves alleged harassment, discrimination, or sexual misconduct in violation of either the University’s Non-Discrimination and Anti-Harassment Policy and Complaint Procedures for Students or the University’s Sexual Misconduct, Relationship Violence, and Stalking Policy, grievances should be filed promptly with the Office of Equal Opportunity.

*Grievance Arising in Other School or College.* If the student’s grievance concerns a student, faculty or staff member whose primary affiliation is with another school or college, the student shall consult and follow that school or college’s procedures. In addition, the student shall submit copies of the written grievance to either of the OASA Assistant Deans and the comparable office in the other school or college.

*Grievances Adjudicated by Silver.* In the following cases, grievances can be adjudicated within Silver: the student believes that he or she has been subject to treatment which is in violation of a Silver rule, procedure or policy; the student believes that he or she is being affected by an unfair and/or incomplete Silver rule, procedure or policy or implementation of same;
Grievances Concerning Grades: A student may file a grievance concerning a grade on the basis of inequitable or prejudicial practices or administrative or clerical errors if he or she believes a grade to be incorrect. No other reason can form the basis for a grievance regarding a grade.

Grievances Concerning Academic Probation or Termination: Students may not issue a grievance against an academic probation or termination or the terms therein. If a student believes that an academic probation or termination decision, or the terms thereof, is in violation of an NYU or Silver rule, the appeal process should be employed.

Student Status during Grievance: During the grievance process of an academic probation or termination, a student must be allowed to maintain student status and continue enrollment in any courses they were enrolled in at the date of the enactment of the probation or termination. The student’s academic record will be frozen for the duration of the appeals process. No grade changes will be accepted during this time. However, as provided in University Bylaw 80, the Dean of a school or the Dean’s representative may suspend a student pending consideration of a case. The Silver School of Social Work (Silver) urges that such action should only be taken to protect the physical or emotional safety and well-being of the student, the physical or emotional safety and well-being of other students, faculty, and/or University staff, the security of University property, the maintenance of public order or the effective continuation of the educational process. When such action does occur, the student shall be afforded the opportunity to expedite disciplinary proceedings. Any period of interim suspension shall be deducted from any final sanction involving suspension.

Initiation of the Complaint: Complaint proceedings concerning events or conditions within Silver may be initiated in two ways:

Informal Resolution: If the event or condition occurred within a program context, the student shall notify the Program Director within thirty (30) days of the occurrence of the event or occurrence being grieved. The Director shall investigate the complaint and respond to the student within fifteen (15) days of notification. The student may be offered terms which, if accepted, will constitute a binding consensual agreement in resolution of the issue.

Informal Resolution: If the event or condition occurred outside the program context but still within Silver, the student shall contact the Assistant Dean for Academic Affairs within thirty (30) days of the occurrence of the event or occurrence being grieved. The Assistant Dean will arrange meetings within fifteen (15) days of notification as appropriate, attend such meeting(s), and attempt to aid in the resolution of the complaint. The student may be offered terms which, if accepted, will constitute a binding consensual agreement in resolution of the issue.

Formal Grievance: If the complaint is not resolved to the student’s satisfaction, and the complaint is one defined to be adjudicated by Silver, the student may bring a formal grievance to the PhD Program Committee within fifteen (15) days after the conclusion of the initiation of the complaint. In this case, the student must submit a formal written grievance to the Committee. The grievant shall state the grounds for the grievance, specifying program, Silver policy, rules, or procedures in question, describe the facts and evidence supporting the grievance, indicate what redress the grievant seeks, provide a brief history of the attempts to resolve the grievance, and identify any individuals who can be contacted for relevant information. Students may request a restriction of the investigation or attempted resolution of a grievance based on concerns about privacy or conflict of
interest. The PhD Program Committee will determine which faculty member on the Committee will oversee the grievance and will notify the student of their decision.

**Receipt of Formal Grievance** Upon receipt of a formal grievance, the PhD Program Committee faculty overseeing the grievance will promptly schedule a meeting with the grievant. One person may accompany and advise the grievant, but cannot directly participate in the meeting. The PhD Program Committee or the student may request the presence of the other OASA Assistant Dean. The student or the PhD Program Committee may request that the meeting be recorded. The PhD Program Committee may contact such other persons as the Assistant Dean deems appropriate, subject to the restrictions of the grievant, for the purpose of ascertaining the facts and evidence in the case. The PhD Program Committee shall render a written decision on the grievance to the grievant, the respondent, and, if the matter had previously been addressed in the program, to the program.

**Appeal of PhD Program Committee’s Decision:** The student may appeal in writing the decision of the PhD Program Committee to the Dean of Silver within two weeks of receipt of the PhD Program Committee’s decision. The Dean will review only the process resulting in the PhD Program Committee’s finding to determine if it was fair and impartial and followed the rules and policies of the Graduate School. No new information beyond what was reported to the PhD Program Committee will be considered. The Dean will render a written decision to the student within thirty (30) days of receipt of the appeal. The Dean’s decision shall be final for Silver and its program.

**Appeal of Dean’s Decision:** Students wishing to appeal the Dean’s decision should consult the University’s [Student Grievance Procedure](#). GSAS procedures cover Phases I and II of the University’s procedures, so any appeal would start with Phase III, the University Judicial Board.

**Record Keeping:** The Office of the Dean shall retain a copy of any grievance formally submitted to the PhD Program Committee or to the Dean, any amended grievance, and any decision of the PhD Program Committee and/or Dean for five (5) calendar years following the date on which the grievance is resolved.

**LEAVES OF ABSENCE/TERM WITHDRAWAL OVERVIEW**

**Voluntary vs. Involuntary Leaves/Withdrawals**
Most leaves and withdrawals are voluntary: psychological and/or physical medical leaves and personal leaves. Involuntary leaves and withdrawals are used in cases of academic/performance dismissal and as an option in cases of danger to self, others or property.

Students are no longer allowed to request a leave of absence after the end of the add/drop period; they can instead request a term withdrawal up until the 9th week of classes (or 9th week equivalent in summer). A term withdrawal allows students to withdraw from their current semester courses, but in this case they will receive W (withdrawal) grades on their transcript. They will be held responsible for related tuition and fees according to the Bursar’s Refund Schedule. Students cannot take a leave of absence or term withdrawal after the 9th week of classes; they must receive a grade for all current semester courses. Term withdrawals after the 9th week of the term for extenuating circumstances must be initiated and approved by the program director. If a student is planning on any of the above, please refer to the [Leave of Absence/Term Withdrawal Checklist](#).
Psychological Medical Leave of Absence

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

Going on Leave
1. Students schedule an evaluation interview with Counseling and Behavioral Health Services (CBH) (wellness.exchange@nyu.edu, 212-998-4780).
2. If appropriate, a CBH clinician recommends psychological medical leave to the Associate and Assistant Director of the MSW (Takako Kono) and PhD (Genielle Salazar) program and informs students of conditions for return from medical leave.
3. Students complete and submit the Request Term/Total Withdrawal or Request Leave of Absence forms via Albert Student Homepage.
4. The Associate and Assistant Directors of the MSW & PhD Programs will review all documentation submitted via Albert to assess leave request. The PhD program director will need to approve all requests.
5. After all steps have been completed, the Associate and Assistant Directors of the MSW & PhD Programs will notify the respective University offices.

If students drop a course or withdraw from the university completely, students’ tuition and registration fee charges are subject to the university Refund Schedule policy. If students were a financial aid recipient, refund will not be processed until a calculation is performed to determine the amount of financial aid, if any, students are still eligible to receive.

Returning from Psychological Leave
Students must notify the university at least 6 weeks prior to the start of classes. The limit for consecutive leaves of absence is one academic year (or 2 semesters). If students need to extend their leave, they must formally request an extension, by repeating the original request procedure.

1. Students must fulfill certain conditions: (a) sufficient time away from school; (b) a course of treatment the entire time away from school; (c) a certificate of readiness to return form sent from the outside therapist to CBH; and (d) an evaluation with CBH.
2. Based on the fulfillment of these conditions, CBH makes a recommendation to the University Office of the Vice President for Student Affairs.
3. The office of the vice president for student affairs notifies all the relevant offices that the student is approved to return to school.
4. Students should then contact SSSW Registration Services to make sure that they are cleared to register for the following semester.
**Physical Medical Leave of Absence**

**Criteria**
An illness may prevent students from participating in class. Depending on when students become ill and how quickly they recover, they may not be able to make up missed work; in this case, a physical medical leave of absence is recommended. The physical medical leave option requires a letter/note from a physician at The Student Health Center.

**Going on leave**
1) Students schedule an appointment with Student Health Center (health.center@nyu.edu, 212-443-1000).

2) Students complete and submit the Request Term/Total Withdrawal or Request Leave of Absence forms via Albert Student Homepage Students.

3) The Associate and Assistant Directors of the MSW & PhD Programs will review all documentation submitted via Albert to assess leave request. The PhD program director will need to approve all requests.

4) After all steps have been completed, the Associate and Assistant Directors of the MSW & PhD Programs will notify the respective University offices.

5) If you drop a course or withdraw from the university completely, your tuition and registration fee charges are subject to the university Refund Schedule policy. If you are a financial aid recipient, your refund will not be processed until a calculation is performed to determine the amount of financial aid, if any, you are still eligible to receive.

**Returning from Physical Medical Leave of Absence**
Students must notify the University at least 2 months prior to the start of classes. The limit for consecutive leaves of absence is one academic year (or 2 semesters). If students need to extend their leave, they must formally request an extension by repeating the original request procedure.

1. Students must submit medical documentation that confirms they are able to return.
2. The Assistant Director of the PhD Program processes a return from leave of absence memo.
3. Students should then contact the assistant director and the School’s Office of Enrollment Services to make sure that they are cleared to register for the following semester

**Non-Medical Leave of Absence**

1. The student should talk with his/her faculty advisor and the Assistant Director and Director of the PhD Program when considering taking a personal (non-medical) leave of absence.

2. If students decide to take a leave, he/she must submit the Request Term/Total Withdrawal or Request Leave of Absence forms via Albert Student Homepage and a written statement to his/her faculty advisor and to the PhD Program Director and PhD Program Assistant Director.
3. The PhD program office will submit the approved student leave form with a request that the student be placed on a “maintenance of matriculation” status to SSSW Office of Registration Services.

4. The Office of Registration Services will register the student for maintenance of matriculation.

5. It is the responsibility of students to notify their committee members and classroom instructors of the intent to take a leave of absence.

6. Students must follow the procedure for maintenance of matriculation for each semester of absence. There is a maintenance of matriculation fee that is determined by the University Bursar’s Office.

Student Leave FAQs

What are the reasons for taking a Leave of Absence?

Personal
You may be experiencing personal or family problems and may not be able to function at school as a result. Depending on the nature of these issues, the student may request either a personal leave (LOA) or a psychological medical leave. These different types of leave options function similarly, but a student out on an LOA may return with only a personal letter of intent, while a psychological medical leave requires the student to receive an additional statement from a University counselor certifying that the student is psychologically prepared to return.

Physical Medical
An illness may prevent you from participating in class. Often, a physical ailment such as a broken leg could keep a student from being fully involved in field work or classes. Other illnesses may require extended hospitalization or absence. Depending on when the student becomes ill and how quickly he or she recovers, the students may not be able to make up missed work; in this case, a physical medical leave is recommended. The medical leave option requires a letter/note from a physician.

What about Housing and Financial Aid?
Students are responsible for making all arrangements for their Financial Aid and Housing needs, both upon their departure and on their return. (Financial Aid: 212-998-4444; Housing Office: 212-998-4600).

Will I keep my stipend?
Students on medical leave will keep their stipend for one semester. Non-medical leave will be reviewed on a case by case basis.

How long is my leave approved for?
A leave is granted for the term stated in the approval letter (typically the term the student requested). The limit for consecutive leaves of absence is one academic year (or two semesters). If you exceed your approved leave time period, the school reserves the right to require that you re-apply for admissions to the program.
What should I do to return or extend my leave?

Students must notify the director of the PhD program in writing about their intention to return. Their approval letter contains the deadlines by which we should hear from them in order to be cleared for registration (usually six weeks before classes begin). The limit for consecutive leaves of absence is one academic year (or two semesters). If students need to extend their leave, they must formally request an extension, by repeating the original request procedure. If you exceed your approved leave time period, the school reserves the right to require that you re-apply for admissions to the program.

Can I take classes somewhere else while I'm on a leave of absence?

Students who are granted a leave of absence or a medical leave are not allowed to take courses at another academic institution. Any students wishing to register elsewhere must contact the PhD program director.

Who is my advisor while I'm on leave?

Because of the special circumstances and requirements surrounding a leave, students on leave are advised by the director of the PhD program.

Do I qualify for health insurance coverage while I’m on leave?

If you are on a leave of absence, you will continue to be enrolled in an NYU-sponsored student health insurance and dental plan for one semester. Spring term applicants must have been enrolled in the plan during the immediately preceding fall term to be eligible. You may visit the health insurance website for further information.

WITHDRAWAL FROM THE PROGRAM

Students considering withdrawal from the PhD program should discuss it with their advisor and the director of the program. Students who decide to withdraw must then submit a letter to that effect to the PhD Program Director, along with a completed NYU Semester Withdrawal Form. The program office will send a copy of the form to the School’s Office of Enrollment Services.

Note: Students who decide they would like to return to the School after they have withdrawn or have been discharged must initiate a new application for admission. Reapplications will be reviewed during the normal yearly admissions cycle and should include detailed plans for potential program completion. Please note that readmission is not guaranteed.
ACADEMIC AND RESEARCH ORGANIZATIONS IN SOCIAL WORK

CAUCUS OF LGBT FACULTY AND STUDENTS IN SOCIAL WORK

The Caucus is a networking and advocacy organization of over 275 social work faculty and doctoral students throughout North America who are lesbian, gay, bisexual, or transgender, or interested in LGBT issues. The Caucus meets twice each year, once at the annual CSWE conference (see below), and once at the annual SSWR conference (see below). Members are subscribed to its electronic forum and they are eligible for a discounted subscription to its official journal, the Journal of Gay & Lesbian Social Services. Students who are interested in joining the Caucus should contact Associate Professor James Martin, who serves as Co-Chair of the Caucus.

COUNCIL ON SOCIAL WORK EDUCATION (CSWE)

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

GROUP FOR THE ADVANCEMENT OF DOCTORAL EDUCATION IN SOCIAL WORK (GADE)

The Group for the Advancement of Doctoral Education in Social Work (GADE) promotes doctoral education in social work and provides a structure for enhancing doctoral programs through information exchange. GADE sponsors an annual conference that is attended by doctoral program directors. Of particular interest for doctoral students are the GADE Student Award for Social Work Research and the GADE Student Award for Leadership and Service, which are presented annually. Each award includes $500 cash and an additional $500 stipend to offset travel costs to attend the conference where the award will be presented (either CSWE or GADE conference). Additional information about the awards can be found in the section of this Manual titled Competitive Awards for Doctoral Students.

SOCIETY FOR SOCIAL WORK AND RESEARCH (SSWR)

The Society for Social Work and Research is dedicated to the advancement of social work research. It promotes advances in the knowledge base of the social work profession and provides formal recognition of significant contributions to research by social workers. SSWR also advocates for increased research funding and research training programs. SSWR presents awards for distinguished scholarship each year. Of particular interest for doctoral students are the Doctoral Fellows and Outstanding Social Work Dissertation Awards. The annual conference, held in mid-January, is the leading forum for the presentation of research findings by social work faculty and doctoral students. Those who wish to present a paper or poster session at the conference should follow the guidelines detailed on the SSWR website. The deadline is in late April. Students who volunteer eight hours of work at the conference receive free registration. The SSWR website maintains job listings for academic
and research positions. SSWR members can elect to receive either *Research on Social Work Practice* or *Social Service Review* free as a benefit, and they are eligible for a discounted membership to *Qualitative Social Work*. SSWR also publishes the open-access *Journal of the Society for Social Work and Research*. Information about joining SSWR can be found on the website.

**SWRnet**

Every student in the PhD program should subscribe to the [SWRnet listserv](mailto:swrnet@bu.edu). Each week the listserv emails an invaluable list of opportunities for research funding and fellowships, conferences, calls for papers, and important new research findings. Students can subscribe through the webpage or via email (swrnet@bu.edu).

**COMPETITIVE AWARDS FOR DOCTORAL STUDENTS**

**Awards Presented by the Silver School of Social Work**

**Diane Greenstein Memorial Fellowship**

The Diane Greenstein Memorial Fellowship is a $5000 cash award that is presented to a doctoral student who has completed an exemplary dissertation proposal. The Fellowship was established in 2001 by the family, friends, and colleagues of Diane S. Greenstein, a social work PhD candidate at New York University who passed away in 2000 before she was able to complete the PhD program. Ms. Greenstein was also a graduate of the MSW program at NYU. According to the Greenstein family's request, the Fellowship is awarded to a PhD student whose dissertation “shows great promise.” Students who wish to be considered for the Fellowship must self-nominate and have their dissertation chair write a letter of recommendation. The Fellowship is awarded in April; eligible proposals must have been defended during the previous calendar year (i.e., January through December). In reviewing nominations, faculty members of the PhD Program Committee take into consideration the importance of the topic and the research questions, and the quality of the literature review, proposed methodology, and overall writing.

**Robert Moore Award for Excellence in Scholarship**

The Robert Moore Award is a $1000 cash award that is presented to a doctoral student whose defended dissertation meets high standards of scholarship. The Award was established in 2009 in recognition of the many contributions to the PhD Program and the Silver School made by Dr. Robert Moore, a Professor at the Silver School who passed away in 2008. The Award is funded by the Dean of the Silver School. Nominations are solicited each year from dissertation committee chairs. The Award is presented in April. In order to be eligible, dissertations must have been defended during the previous calendar year (i.e., January through December). The recipient of the Award is determined by the faculty members of the PhD Program Committee.

**External Awards**

**GADE Student Award for Social Work Research**

The **GADE Student Award for Social Work Research** is presented by GADE to a doctoral student or collaborative group of students whose scholarship and research advances social work as a helping profession. The research should: (1) reflect social work as a subject worthy of scientific study; (2) have applicability to achieving change in human service programs, services, policies or organizations; and, (3) serve as a model for scientific rigor. Nominations must consist of a statement, no longer than three
double-spaced pages describing the research project. Student self-nominations are encouraged. However, self-nominations should include a one page letter of endorsement by the PhD program director or the student’s advisor attesting that the research has been completed by the student. Criteria for determining the award include: level of innovation, contribution to knowledge, likelihood of improving services to disadvantaged or vulnerable populations, and scientific rigor. Therefore, the nomination statement should be written with these criteria in mind. The research project can be dissertation research that is either completed or near completion (scheduled for defense), but it could also include other research activities that are student-driven. The nomination statement, including contact information on a separate page, and director/advisor endorsement (if applicable) must be emailed to the Chair of the GADE Awards Committee. The winner of the GADE Student Award for Research receives a certificate and $1000, presented at the annual Society for Social Work and Research (SSWR) Conference.

GADE Student Award for Leadership and Service
The GADE Student Award for Leadership and Service is presented by GADE to a social work doctoral student, group of students, or doctoral student organization who, through on-going or time-limited actions, activities or project(s), have made significant contributions to excellence in doctoral education, including teaching and learning, community-building, curriculum advancement, expansion or creation of supportive resources, program quality improvement, community service, or advocacy. The winner of the GADE Student Award for Leadership and Service receives a certificate and $1000, presented at the CSWE Annual Program Meeting.

SSWR Doctoral Fellows Award
The Doctoral Fellows Award is presented by the Society for Social Work and Research (SSWR) to recognize doctoral students whose proposed dissertation research reflects innovative ideas and rigorous methodologies related to social work research, policy, or practice. SSWR Doctoral Fellows will be considered exemplars of excellence in doctoral level social work research, and they will receive $3000 and special recognition at the SSWR annual conference. Fellows may use the funds for expenses related to the completion of the dissertation, such as data collection and preparation, data analysis, administrative costs, and the preparation of the final dissertation document. Quantitative, qualitative, mixed methods, or other approaches are welcome as long as they are appropriate to the study’s goals.

SSWR Outstanding Social Work Doctoral Dissertation Award
The Outstanding Social Work Doctoral Dissertation Award is presented by the Society for Social Work and Research (SSWR) to recognize dissertations exemplifying high standards in social work research and scholarship. The purpose of the award is to encourage the design and conduct of quality research by doctoral-level social workers, to recognize the authors of such studies, and to provide these authors with a professional conference venue to present finding from their study. Award recipients are honored at the SSWR annual conference; they receive complimentary conference registration, a stipend for travel to the conference, a plaque, and an honorarium.

Council of Social Work Education Minority Fellowship Program
The CSWE Minority Fellowship Program Mental Health/Substance Abuse Fellowship Program (MHSAFP) is designed for racial/ethnic minority individuals pursuing a doctoral degree in social work. Applicants must hold a social work master’s degree from a CSWE-accredited program. Their career goal must be to provide leadership in practice, research, teaching, and policy promulgation in government and private organizations serving underrepresented and underserved persons with or at
risk for mental health and/or substance abuse disorders. The purpose of the program is to reduce health disparities and improve health care outcomes of racially and ethnically diverse populations by increasing the number of culturally competent behavioral health professionals with doctoral degrees available to underserved populations in the public and private nonprofit sectors. Fellows receive a three-year stipend, contingent on doctoral degree progress.

Please access Google Drive for more complete list of external awards opportunities.
PHD PROGRAM CURRICULUM

COURSEWORK

Students are required to take 48 credits to complete the coursework phase of the PhD program. Full-time doctoral students normally take 9-12 credits of coursework in the fall and spring semesters over two to three years, as indicated on the following schedules. Students, in consultation with their faculty advisor and the PhD program office, should plan their course schedules accordingly. In addition, students must successfully complete a supervised research practicum before the end of the coursework phase of the program.

Social Work Common Core
The foundation level of the doctoral curriculum is comprised of introductory doctoral level courses that will be required for all doctoral students and is usually taken with the first 2-3 years of the study. Courses in the common core will focus on providing rigorous foundation level training in social work as a discipline and research methods and statistics. Students will also begin their mentored research practicum in this phase. The eight courses that compromise the common core are:

- Philosophy of Science and Knowledge Development
- History and Social Policy Analysis
- Macro Theories in the Social Sciences
- Social and Behavioral Intervention Research
- Quantitative Methods
- Qualitative Methods
- Statistics I
- Statistics II

Career Preparation and Scholarly Impact
Students will take two courses to focus on becoming steward of the profession and to develop competencies as researchers, scholars, educators, and leaders.

- Career preparation: Teaching and Learning in Social Work
- Scholarly impact: Dissertation Proseminar

Methodological Specialization
Students are required to take a minimum of three courses in their chosen methodological specialization track. Such tracks could be: advanced qualitative and data analytic methods, advanced quantitative and statistical methods, a combination of both methods, and mixed-methods. Both qualitative and quantitative tracks contain a combination of required and elective courses. Students will identify advanced elective courses in their respective tracks at Silver and other NYU departments and enroll in three courses to complete their methodological specialization track.

- Sample layout for advanced methodological courses:
  - Advanced qualitative methods (Silver course)
  - Structural Equation Modeling I (Silver course)
  - Structural Equation Modeling II (Silver course)
  - Electives at Silver or outside
Substantive Area of Expertise

Additionally, students will select one substantive area of expertise in which to specialize, in line with Silver’s strategic vision and the expertise and strengths of the school’s faculty. Students must take at least three courses in their chosen area of expertise. There are many areas in which students may choose to specialize, below we list few among others:

- Aging
- Children, youth, and family
- Global social welfare and public health
- Immigration and immigrants
- Mental health
- Poverty and inequality
- Substance misuse.

Students should select an area of expertise that is related to what will likely become their dissertation topic. Again, courses can be taken at Silver and other NYU departments.

Electives

Electives should help to advance students toward their dissertation; they should select courses that will add to their knowledge in substantive areas related to what will likely be their dissertation topic, or in methodological areas that are likely to be needed for their dissertation. Students should discuss their elective options with their advisor prior to registration. Students need to submit the cross-school registration form along with syllabus of the course to the PhD Program Office, preferably by the second week of the semester. The PhD Program Director must approve all final elective selections. On some occasions (e.g., the level of the course may not be considered to be advanced-graduate level), the PhD Program Director will ask for a support letter from the student’s advisor indicating how the elective course may advance student’s substantive knowledge and/or skill-building, and if the content of the course is advanced-graduate level.

Electives (whether for the student’s methodological track or substantive area of expertise) can be taken at Silver or other NYU schools, and all electives must be graduate-level courses. Some programs do not make a distinction between masters and doctoral courses; when distinctions are made electives should be doctoral courses. Students most often locate appropriate electives in the Steinhardt School of Culture, Education, and Human Development (especially in departments of Applied Psychology or Humanities and Social Sciences in the Professions); the Wagner School of Public Service; or in some departments of the Graduate School of Arts and Sciences (especially psychology and sociology).

Prior to registering for a course in another program within NYU, students should contact the course instructor to determine whether they will be permitted to register for it. After students have been granted permission from the instructor, they must complete a cross-school registration form (available on the Google Drive), have their advisor authorize the form along with course syllabus, submit to the PhD Program Office to have the Program Director’s approval, and then returned it to our School’s Registration Services office. Once this has been done, students can register for their desired course.
Independent Study Electives

Students can design an independent study in a particular substantive area if the material that will be covered is not available in any existing course and it is clearly relevant to the student’s likely dissertation topic. Only one independent study will be allowed, and students should choose this option as the last resort for electives. Students wishing to take an independent study must find a full-time faculty member within the Silver School to supervise it. The student and faculty member should meet to discuss plans for the independent study, and they should develop a learning contract similar to a course syllabus that includes the number of credits for the course, course description, course learning objectives, list of potential readings, and expected products. Once the contract/syllabus has been agreed upon, the student must complete an independent study approval form, which is available on the program’s Google Drive, and submit it for approval to the Director of the program, who will then forward it to registration services.

Course Waivers and Sequence Change Policy

The social work PhD curriculum content and sequencing was carefully developed by the PhD Program Committee (PhDPC) and program office to ensure that students receive sufficient training at appropriate times in their doctoral career. As such, the program strongly encourages students to adhere to the curriculum outlined above. However, students may wish to waive out of required courses or change the sequencing of coursework. In order to request a course waiver, exception, or change in sequence, students must submit the following to the PhD program in a written document:

- Stipulated course request and copy of the syllabus for the desired course
- An academic rationale for the requested change
- Evidence that you possess the requisite knowledge and skills necessary for successful placement in an advanced elective (ex: evidence of a passing grade of a pre-requisite to an advanced course)
- Written support from your academic advisor/mentor supporting your requested change
- Written confirmation that you will not use this course to later waive out of a Silver course

Please note that the PhD program office generally will not accept course change requests for outside courses with content that substantially overlaps with a course offered within the Silver School of Social Work.

Research Practicum

As part of the Silver’s efforts to enhance the research focus and training of doctoral students, all incoming doctoral students are paired with faculty research mentors. The mentor pairing aims to foster the development of PhD students as independent researchers and scholars through greater attention to the development of specific research competencies. Students will be integrated in their mentor’s current program of research for 20-hour per week and evaluated with a pass/fail grade (10 hours per week for part-time students).

While each mentor-mentee relationship will be different based on the particular research project, each student should have the opportunity to engage in at least one type of tasks listed below:

- Research planning (e.g., writing grant applications, recruiting and collaborating with research sites, developing study protocols, research ethics and IRB issues);
- Study design (e.g., developing and writing up the design, choosing study measures, conducting power analyses);
• Study implementation (entering the field, creating codebooks and participant databases, refining study protocols, recruiting and screening participants);
• Data collection (e.g., interviewing, conducting observation, entering data into statistical or qualitative software, running preliminary analyses);
• Data analysis (qualitative coding and analysis, statistical analyses of data);
• Interpretation of findings (creation of tables and graphs, writing conclusions and implications of findings); and
• Dissemination (co-authoring or authoring papers, producing and presenting scholarly presentations and posters at professional conferences).

To ensure that the relationship is achieving the pedagogical goals described above, students will maintain a research training checklist listed above as a tool for tracking learning opportunities, strengths, and areas in need of greater attention. In the event that the student performs at an unsatisfactory level, the research practicum requirement will not be fulfilled. In such cases the student will be placed on academic probation. If the student and faculty member conclude that they cannot work together (for reasons other than poor performance), the PhD program office will help reassign the student to another mentor. Students should contact the program office for assistance in finding a new mentor.

For students who continue to receive stipend from the PhD program after the first two-year of PhD study, students are expected to maintain active research activities under faculty mentor’s supervision.

Responsibilities of faculty research mentor:
• Submit a brief description of available research projects, detailing learning opportunities the project(s) will provide, and a structured plan for supervision and mentoring
• Complete and sign the research mentor acceptance letter
• Provide an educational experience that orients student to the phases of research, provides research training when appropriate, and affords student opportunities to participate in as many phases as is feasible
• Complete the feedback and assessment tools provided by the PhD program office
• Note: Faculty mentors may choose to supervise more than one student at a time

Responsibilities of the student:
• Perform in a professional manner and work to achieve all agreed-upon educational and research tasks at a satisfactory level
• Fulfill time requirements and keep track of hours worked and tasks performed
• Complete the feedback and assessment tools provided by the PhD program office

Teaching Preparation
Academic teaching is an integral facet of doctoral student education, offering them the opportunity to further their scholarly and professional development. In addition to the clear professional benefits student teaching opportunities confer, doctoral students oftentimes rely on teaching as a means of financial support while progressing through the candidacy phase. However, it is important that teaching opportunities do not negatively impact students’ progress in their research training and
dissertation development and completion. Teaching opportunity includes course assistantship (without payment) and independent teaching.

The PhD Program supports doctoral students who seek teaching opportunities in the BSW and MSW Programs who meet a series of requirements:

1) Evidence of academically strong and consistent progress in the program (i.e., GPA of 3.0 or greater, as well as successful completion of coursework, the qualifying exam, defense of dissertation proposal) Students who do not demonstrate strong academic performance are discouraged from teaching in the BSW or MSW programs.

2) Achievement of candidacy status after successful completion of all coursework requirements including PHDSW-GS.3033 “Teaching and Learning in Social Work.” Doctoral students are discouraged from teaching prior to completion of coursework. Ideally, teaching would occur after a student successfully defends his/her dissertation proposal.

3) Approval from the faculty research mentor/dissertation chair supporting the student’s plan to teach the BSW or MSW course and confirmation that the teaching responsibilities should not interfere with the student’s plan for degree completion. Students demonstrating little or no progress in completing the doctoral program are discouraged from ongoing teaching responsibilities.

4) Attendance and participation in the semester-long “New Adjunct Teaching Seminar” offered by the MSW Program.

5) Students should familiarize themselves with the Center for the Advancement of Teaching and participate in one of their workshops prior to taking on a teaching assignment.

Starting from the Fall 2017 cohorts, All doctoral students are required to have at least one course assistantship experience before graduation. Students should not seek course assistantship opportunity before taking the course on “Teaching and Learning in Social Work,” although exception may be made on an individual-case basis. Students who seek such opportunity should consult with the faculty advisor and only seek BSW or MSW courses that are taught by full-time faculty. Students will need to get final approval from the PhD program director before taking on any teaching opportunity. Required application materials include: (1) support letter from the faculty advisor/mentor, (2) support letter from the full-time faculty whom the student will assist the course with, (3) course syllabus, and (4) a statement on certifying that taking on such teaching opportunity would not interfere with nor delay the timely academic progress in the program. Application form is available here.

Students who have prior independent teaching experience on courses relevant to social work profession may ask for waiver from this requirement. To apply for waiver, the student needs to submit course syllabus and student evaluation to the PhD program director for approval. Prior teaching experience does not excuse students from taking the required course on “Teaching and Learning in Social Work.”
Students who meet these requirements should contact the Assistant Director to begin the process.

THE QUALIFYING EXAM

Following the completion of core coursework, students must pass a comprehensive qualifying exam, which serves as an examination of what students have learned to date in the program and a determination of whether they are ready to engage in independent research. Students taking the Qualifying Exam (QE) are expected to demonstrate a thorough understanding of 1) theoretical perspectives related to the etiology, treatment, and policy of a social problem, and 2) core knowledge and skills related to qualitative and quantitative research design and methods. Please note that earlier cohorts may choose the QE option that was approved at the time they began the PhD program (i.e., for cohorts of 2015-2017, the Comprehensive Literature Review or Systematic Review, or the option described below.

Format and Topic
The exam format is open book and take home. Students will be given one week to answer two out of three questions written by the faculty that address the expectations above. Students may choose their substantive area as the focus of their responses. Students can have access to any materials and resources they choose. However, the work must be the student’s own, meaning that students are not permitted to obtain editing or other support. The responses must be carefully and clearly written, with style and citations consistent with APA style.

Qualifying Exam Committee
The director of the PhD Program together with the faculty mentor will select two additional faculty members to assess students’ qualifying exam. All three members of the committee must be full-time members of the Silver faculty and may include clinical and tenure-track faculty. All committee members must hold doctoral degrees (PhD or DSW). The QE Committee will meet with the student following the exam and provide feedback and a recommendation of pass, retake, or fail. Note: For cohorts entering during AY2015-2017, the student must submit the Request for Approval of Qualifying Exam form to the PhD program for approval.

Process and Grading
Students eligible to take the examination must submit the Request for Approval of Qualifying Exam form to the PhD program in the spring semester quarter prior to the exam for approval. The exam is offered in September in the beginning of the third year of study. Every exam is graded by three faculty members. No results are released until all exams have been graded. The exam results are distributed to students in October. Each student will meet with their QE Committee to review and discuss feedback. Students will receive a recommendation of pass, retake, or fail. Students will be required to receive a passing grade on each question. Students who fail one or both questions will be required to retake the question or the entire exam in November of the same semester. If the student does not pass one or both question(s) retaken during the November exam, they will be dismissed from the program.

Note: For cohorts entering during AY2015-2017, after the topic is approved, the student will write the QE within the ensuing three months. The paper will be submitted to the PhD program office (to the Director and cc Assistant Director). The paper will be formally reviewed by each member of the committee and a summary of comments provided to the PhD program director along with a “pass” “revise and resubmit” or “fail” recommendation. The PhD program director will convey the results.
and reviews to the student. For a “revise and resubmit,” the student will be given one month to make revisions and then resubmit the paper. At that point, the faculty committee will decide on “pass” or “fail.” Students have only one opportunity for revision. Failure to successfully pass after the first-round revision will result in dismissal from the program.

The qualifying exam must be submitted within 3 months after completing the core coursework (not counting courses on “Seminar on Teaching in Social Work” and “Dissertation Proseminar”). Students may consult with the PhD Program Director to request for another 3-month extension under extenuating circumstances. Grading of the first draft of the qualifying exam should take about two months to complete. However, students should keep in mind that grading will take longer at certain times during the year, especially during the School’s breaks, when faculty are either less available or immersed in other tasks.

THE DISSERTATION

“Doctoral education prepares scholars who both understand what is known and discover what is yet unknown. [These scholars] invent new forms of understanding as they move their fields ahead” (Carnegie Foundation for the Advancement of Teaching, 2008). The Silver School of Social Work PhD program is designed to train scholars and researchers who will develop new knowledge and advance the Social Work profession and related fields. The dissertation is the part of the PhD program through which students demonstrate their ability to contribute ongoing research and scholarship. Students are qualified to begin a dissertation upon successful completion of all coursework and the qualifying exam.

Criteria

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

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

Responsibility

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

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

THE DISSERTATION PROCESS

**Topic Selection**
The topic of the dissertation should be in an area in which the student has a great deal of intellectual curiosity and interest, and which is related to their research experience. Students should begin thinking about possible dissertation topics early in the program, and should process these with their faculty mentor for guidance in conceptualizing and formulating topics that are timely, in keeping with current priorities of the field of social welfare and anchored in the core values of the profession of social work.

**Format Selection**
As is discussed at length in the “Style and Content of the Dissertation” section of this manual, PhD students have two options for the format of their dissertation: a traditional dissertation consisting of a single, longer document on one topic; or three papers of publishable quality on interrelated topics. Together, the student and the dissertation committee will determine the most appropriate structure and format of the dissertation.

**Appropriate Study Methods and Designs**
There are many ways of contributing to the advancement of theory and knowledge-building relevant to the field of social welfare. Some research questions call for quantitative methods while others lend themselves to qualitative methods or a combination of the two. Whatever design is selected, it must be appropriate to the study’s research questions.

The range of methodologies available to be drawn upon include qualitative studies, cross-sectional and survey designs, experimental and quasi-experimental designs, and longitudinal designs. Students may also undertake a program evaluation of an existing program, a meta-analysis to understand patterns among extant research studies and practice interventions, or conduct an historical research study to uncover themes in social policy development that have persisted overtime and illuminate the social and economic injustices experienced by populations of historic concern to the profession. Students should take advantage of content covered in their methodology and statistics courses to select appropriate study protocols that will also be useful for preparing this section of the proposal.

**Length**
There is considerable leeway with respect to the length of dissertations. Quality and clarity of conception, writing, presentation, evidence of scholarship, systematic inquiry, originality, and significance to the field are more important than length. Dissertation length is not correlated with
quality—the language used in the dissertation should be free of jargon, and written with both brevity and clarity. The final product must meet demands of scientific rigor and standards for publication in first-tier professional journals.

Selection and Composition of the Dissertation Committee
The dissertation committee is comprised of three to five full-time faculty, one of whom serves as the committee chair. All members of the committee must be full-time faculty and hold doctoral degrees. The chairperson must be a tenured member of the Silver School’s faculty. All committee members must be approved by the director of the PhD program. Students are encouraged to choose committee members whose research portfolio and area of expertise is consistent with their chosen dissertation topic, as this will considerably facilitate their dissertation process. Among the members of the committee there must be substantive expertise on the major aspects of the dissertation topic as well as expertise in the research methods that will be used. Students may elect an additional committee member(s) from outside the School’s faculty who has expertise relevant to the dissertation topic. Outside members must have a doctoral degree and an academic appointment in a related discipline and must have an academic portfolio and history of scholarship that is relevant to the primary study question and/or corollary questions addressed by the research topic. The final composition of the committee must be majority Silver School faculty.

The dissertation committee is formally established after the student has received written notification from the director of the PhD program that they have successfully met all program requirements for advancement to the dissertation phase. After selecting and establishing a dissertation committee as required, the student must submit the Request for Approval of Dissertation Committee Members form to the director of the PhD program for approval. Please note the student must obtain the agreement from each faculty listed on the request form prior to submitting it for approval. The form must be resubmitted for approval if modifications are made in the original committee composition. The PhD office will notify the student and each committee member of the approval of the composition of the committee members. A copy of the curriculum vitae of faculty members of the committee who are external to school must be attached to the request form.

Selecting the Committee Chair
The faculty who serves as committee chair must be a full-time tenured member of the Silver School faculty and have substantive knowledge, practice and/or research expertise in the research topic. It is important that the student must feel comfortable working with the chair. A meeting with prospective chairs to discuss the study topic, styles of working, and other expectations is usually helpful. Some faculty members may request a written summary of the student’s research interest in order to decide whether it would be appropriate for them to chair the committee. The student should work closely with the chair in the process of developing a proposal that meets all standards outlined in the proposal development process.

Changes in dissertation chair are possible: when a change in topic calls for different expertise, when the chair’s availability is substantially reduced, when the student feels that there is no longer an effective working relationship between them, or when a chair is no longer a full-time tenured member of the Silver School faculty (note: students will be required to change the faculty advisor/chair to be a full-time tenured member of the Silver School faculty; the out-going chair has the opportunity to serve as an external committee member). The student should first discuss the desired change with the current chair. Any such changes must be approved by the PhD program director.
**Selecting the Committee Members**

The student should select other members of the committee in consultation with the committee chair. At least one member of the committee should have expertise in the research methods that will be used in the study. Although students do not have to select all of their committee members immediately, it is usually helpful to draw upon the expertise of a full committee throughout the development of the dissertation proposal.

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

**THE DISSERTATION PROPOSAL**

A complete draft of the dissertation proposal must be reviewed and approved by the dissertation committee chair before a proposal defense can take place. Members of the committee should receive copies of the proposal to be defended no less than *four to six weeks* before the date of the defense in order to provide the committee with sufficient time to prepare. Proposal defenses may take place only on Mondays through Fridays, at the School of Social Work, during the academic year. They cannot be scheduled on holidays, weekends, or during intersession periods. Although the date and time are negotiated between students and their committee members, the actual scheduling of the defense and reservation of a room for it must be done by the Assistant Director of the PhD Program.

**Structure**

The proposal should be a concise written summary and include the following sections:

- Problem statement
- Literature review
- Methodology (potentially including: research question and hypotheses, research design, definition and operationalization of key concepts, sample selection, data sources)
- Proposed analytic methods
- Timeline to complete the proposed dissertation

**Format**

The dissertation proposal does not have to be formal chapters of the thesis. The student in consultation with the dissertation committee can decide on the appropriate length and detail of the proposal. The proposal cover page and examples of dissertation proposals are available via the PhD Program Google Drive. We suggest you consult these examples as you develop your proposal.

At the proposal defense meeting, or earlier, the dissertation committee will determine the appropriate structure and form of the dissertation. In consultation with the student, the committee can decide for traditional dissertation or a three publishable paper format.

**Defense**

As indicated on the dissertation proposal cover page, there must be consensus among committee members of the proposal being approved without revision. If the proposal is approved with minor
revisions, only the chair will need to review the revisions to determine whether they are satisfactory. If the proposal is approved with major revisions, the revised proposal must be reviewed by all committee members, with or without a second defense. If the proposal is not approved there is normally only one more opportunity to produce one that is acceptable.

When the proposal has received final approval, one copy must be filed with the PhD Program Office. Note: unless the proposal was initially approved without revision, the cover page must also include the signature and date of the chair indicating that all revisions have been approved.

UCAIHS Review
Note that students must present proof to the chair at or prior to the proposal hearing that they have passed the online tutorial in research ethics provided by the University Committee on Activities Involving Human Subjects (UCAIHS).

Once the dissertation committee has approved the proposal, including all required revisions, students must complete the necessary paperwork for submission of the proposal to the University Committee on Activities Involving Human Subjects (NYU’s Institutional Review Board). The Committee meets monthly during the academic year, except in August. In general, proposals must be submitted at least two weeks prior to each meeting. However, proposals applying for exempt status can be submitted at any time. Instructions for submitting proposals, review procedures, and deadlines for submission are listed on the UCAIHS web page. Note that all materials must be submitted to the UCAIHS electronically.

STYLE AND CONTENT OF THE DISSERTATION

Dissertations must be prepared according to the style and format of the most recent version of the Publication Manual of the American Psychological Association (currently 6th Ed.). Note that the Manual has a useful section on dissertations and the ways in which APA format for them differs from the preparation of manuscripts for publication in journals. Before submitting the dissertation for defense, students should do a thorough reference check to make sure all sources that are cited in text appear on the reference list, and that each source listed on the reference list is cited in text. Errors in referencing format are not acceptable. Students should also make sure that the manuscript is free of typographical, spelling, and grammatical errors.

PhD students have two choices for the format of their dissertation. The first option is a traditional dissertation consisting of one long paper (roughly 150-250 pages) on a single topic. The second format option consists of three papers of publishable quality, which should be on interrelated topics. Students should discuss the format for their dissertation with their dissertation committee while in the proposal phase. Students cannot include their previously published papers as part of the dissertation proposal dissertation.

For both formats, the final dissertation should begin with the following materials:

1. Title page
2. Copyright
3. Dissertation Cover Page
4. Statement of Authorship Responsibility
5. Dedication
6. Acknowledgements
7. Abstract
8. Table of contents
9. List of tables and/or figures (if needed)

Please see the program’s Google Drive for a sample of these introductory pages (“Sample Dissertation Introduction Pages”). Below, the formats for the two dissertation options are explained in detail.

**Traditional single document dissertation format**
For the single, long document dissertation format, material should be presented in the following format (after the introductory materials discussed above):

1. Problem statement (chapter one)
2. Literature review (chapter two)
3. Methodology (chapter three)
4. Findings (chapter four)
5. Discussion and implications of findings, including limitations, implications for practice and policy, and future research (chapter five)
6. References
7. Appendices (if needed)

Much of the information in the first three chapters will be covered in the dissertation proposal; however, these areas should be much more in-depth in the final dissertation than the proposal. Any language that was in the future tense in the proposal must be changed to the past tense in the final dissertation. For example, if the proposal stated that the study will examine the relationship of variable one to variable two, the final dissertation should state that the study examined the relationship of variable one to variable two. Guidelines for writing the statement of study issue, literature, and methodology chapters are found in the proposal section of this manual.

**Three-paper dissertation format**
The second format option allows for a dissertation consisting of three publishable papers. The three-paper format is a dissertation in which the student writes three papers which all relate to an overall topic or area of interest. Each paper should endeavor to be a stand-alone manuscript publishable in an academic journal. The topics of the three papers must be interrelated. In its final form, the three-paper dissertation must include an abstract that synthesizes the articles, as well as an introduction and a conclusion. The dissertation committee must view the papers as being “publishable;” that is, ready for submission to a peer-reviewed journal. Student need to have final defense before submitting any of the three papers for publication.

**Preparation of papers**
a) *Type of paper:* At least two articles must be based on data analyzed by the student. If the third article is conceptual in nature, or based on a synthesis of the literature, it must be connected to the theme or themes of the dissertation without overlapping heavily with the contents of either article. The student’s dissertation committee will determine whether the extent of any overlap is excessive.

b) *Content of paper:* Each paper must contain the information that would allow it to be read separately and still make sense.
c) **Format of papers:** Prior to the defense, the student may specify a target peer-reviewed journal for each paper and format each accordingly. This will make it easier for faculty to evaluate publishability.

d) **Relationship among papers:** It is required that the papers be related to each other, for example, in terms of addressing a common question.

e) **Co-authorship:** Whereas students should be the sole author for dissertation, students must be first or sole author on all articles submitted for publication. As first authors, students are responsible for development and articulation of a concept or idea for research, development of a proposal to pursue this idea, development of a research design, conducting research and analysis, writing major portions of a manuscript, designing an intervention or assessment (if relevant), and interpreting results. The student should identify any known co-authors at the proposal defense. The percentage of effort and description of the role of each author must be presented and approved by all members of the dissertation committee. The student’s committee must approve any changes in co-authorship. Note: for resources and guidelines on publishing and co-authorship, please refer to the guidelines provided via APA and AJPH websites. We recommend that in the acknowledgement section of the published paper, please acknowledge that “this research work was based on the (first) author’s dissertation work at the Silver School of Social Work, New York University.”

**References:** Reference section should be located right after each chapter of the dissertation (e.g., right after the Introduction chapter, right after the Conclusion chapter).

**Evaluation by dissertation committee**

In addition to the usual criteria, for three-paper dissertations, the dissertation committee must consider the following:

a) **Extent of the student’s contribution:** The committee should be persuaded that the student played the primary role in the formulation and write-up of the research for all three papers. For example, if a faculty member provided the data, selected the methodology and directed the analyses, the student’s role may not meet the required standard of independence.

b) **Publishability of the three papers:** The committee should only approve the dissertation if it feels that the three papers are publishable, that is, ready for submission to peer-reviewed journals.

**PROCEDURES FOR DEFENSE OF THE DISSERTATION**

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

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


**Deadlines for Deposit of Final Dissertations**

<table>
<thead>
<tr>
<th></th>
<th>Fall 2018/January Term 2019 Graduation</th>
<th>Spring 2019</th>
<th>Summer 2019</th>
</tr>
</thead>
<tbody>
<tr>
<td>Graduation Application Period via Albert</td>
<td>6/18 - 10/7/2018</td>
<td>10/8/18 – 2/2/19</td>
<td>2/4/19 – 7/16/19</td>
</tr>
<tr>
<td>Final day to successfully defend dissertation</td>
<td>12/4/18</td>
<td>4/26/19</td>
<td>8/16/19</td>
</tr>
<tr>
<td>Deposit of final approved manuscript to ProQuest, and all fees paid</td>
<td>12/18/18</td>
<td>5/10/29</td>
<td>9/6/19</td>
</tr>
<tr>
<td>Degree Conferral</td>
<td>1/28/19</td>
<td>5/22/19</td>
<td>9/23/19</td>
</tr>
</tbody>
</table>

**Scheduling the Dissertation Defense**

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

**The Dissertation Defense**

As with the proposal, a complete draft of the dissertation must be reviewed and approved by the committee chair before a defense can take place. In addition, the assent of all committee members should be obtained before scheduling the defense. The student also must provide the title of the dissertation and abstract to the Assistant Director of the PhD Program no later than two weeks before the defense date.

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

The chair of the committee convenes the defense. All members of the academic community are allowed to attend only the student presentation component of the defense. The student will be asked to present for approximately 20 minutes summarizing the major components of the dissertation (i.e., background, research questions, methods, findings, and implications). Upon completion of the
presentation, the student has the option to take questions from the academic community for approximately 5 minutes before they depart. Upon departure of the academic community, the committee members may resume dialogue with the student. The student will be asked to leave the room while the committee decides on the outcome. The defense should last about at least an hour and a half so that not only the committee has sufficient time to provide critical and constructive feedback to the students’ dissertation but also the student has enough time to respond to the committee members’ feedback. As indicated on the dissertation cover page, the committee can accept without revision, accept with minor revision (chair to supervise and approve), accept with major revision (all members to review revisions, with or without another meeting with the student), or reject. The outcome shall reflect the majority opinion of the committee. The result is then communicated, with comments, to the student.

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

_After the Defense_
Following the defense of their dissertation, students should leave their signed cover sheet with the Assistant Director of the PhD Program. After the dissertation is accepted without revision, the student will need to submit the final copy of the dissertation along with all requested paperwork mentioned in the “Procedures for Graduation” document available on the program’s Google Drive.

**INSTRUCTIONS FOR FILING APPROVED DISSERTATIONS**

After the dissertation has been successfully defended and any required revisions approved, the manuscript must be submitted electronically via the Silver School of Social Work ProQuest/UMI dissertation submission website. Students are required to create an account and login as follows:

1. Go to [ProQuest ETD Administrator](#)
2. Click “Submit my dissertation/thesis” in the “Ready to begin?” box on the right side of the screen.
3. Click the “Create an account” link inside the “New user?” box.
4. Fill in the required information and follow the steps on the screen.

Although there are multiple steps to the online submission process, you will be able to save your progress, log into and out of your account, and upload new versions of your dissertation should you need to make changes along the way. Be sure to give yourself ample time to work through this process, in case you need assistance or run into technical difficulties.

The PhD Program office will have access to your submission once it is completed. As the Assistant Director of the PhD Program must approve your submission before sending it onto ProQuest, you must complete all steps by the date listed under dissertation deadlines in order to graduate each semester. Note that the Program Office may require that you make additional edits to your manuscript after you submit the document. It is important that you check your email regularly and keep in touch
with the Program Office until you receive confirmation that your dissertation has been sent to ProQuest.

Payment options are listed online, but payment by credit card is strongly recommended. If you plan to pay by check, please notify the Program Office, as this might alter the timeline of your submission. The copyright registration fee is currently $55.00.

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

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

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

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

3. Dissertation Cover Page
   Must bear the original signatures of all committee members (the chair listed first followed by the others in alphabetical order) and the date on which the final defense was held.

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

5. Dedication
   On this page the student may choose to dedicate the dissertation to a person or persons who are significant to them.
6. Acknowledgements
On this page the student acknowledges the assistance of others in the development and completion of the dissertation. Usually this includes the chair and other members of the dissertation committee, agency representatives who made the project possible, and anyone else who facilitated the student’s work.

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


The header is followed by the abstract itself, which is a brief summary of the study that is written simply and clearly without jargon, footnotes, or citations to literature. The abstract must be double spaced, beginning with an indentation, and with a maximum length of 350 words.

8. Table of Contents

**GRADUATION PROCEDURES**

Please consult the Registrar for information about preparing for graduation. After it has been determined by the dissertation chair that a student is likely to graduate, students should contact the Registrar (212-998-4800) to register for graduation. Pay particular attention to the deadlines listed on the Registrar’s website, since students must register on time in order to graduate.

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


